

ADULT EDUCATION AND LITERACY

COORDINATOR HANDBOOK

PROGRAM YEAR 2016



COMMUNITY COLLEGES
BUREAU OF COMMUNITY COLLEGES

State of Iowa
Department of Education
Grimes State Office Building
Des Moines, Iowa
50319-0146

State Board of Education

Charles C. Edwards, Jr., President, Des Moines
Michael L. Knedler, Vice President, Council Bluffs
Brooke Axiotis, Des Moines
Michael Bearden, Gladbrook
Diane Crookham-Johnson, Oskaloosa
Angela English, Dyersville
Rosie Hussey, Clear Lake
Mike May, Spirit Lake
Mary Ellen Miller, Mason City and Corydon
Hannah Rens, Student Member, Sioux City

Administration

Dr. Ryan Wise, Director and Executive Officer
of the State Board of Education
Gail M. Sullivan, Chief of Staff

Division of Community Colleges

Jeremy Varner, Administrator

Bureau of Community Colleges

Grimes State Office Building
Des Moines, IA 50319-0146

Phone: 515-281-8260
Fax: 515-242-5988
www.state.ia.us/educate

Alex Harris
State Director
515-281-3640
alex.harris@iowa.gov

Lisa Gard
Education Consultant
515-281-3125
lisa.gard@iowa.gov

Mike Williams
Education Consultant
515-725-2005
mike.williams@iowa.gov

It is the policy of the Iowa Department of Education not to discriminate on the basis of race, creed, color, sexual orientation, gender identity, national origin, sex, disability, religion, age, political party affiliation, or actual or potential parental, family or marital status in its programs, activities, or employment practices as required by the Iowa Code sections 216.9 and 256.10(2), Titles VI and VII of the Civil Rights Act of 1964 (42 U.S.C. § 2000d and 2000e), the Equal Pay Act of 1973 (29 U.S.C. § 206, et seq.), Title IX (Educational Amendments, 20 U.S.C. §§ 1681 – 1688), Section 504 (Rehabilitation Act of 1973, 29 U.S.C. § 794), and the Americans with Disabilities Act (42 U.S.C. § 12101, et seq.). If you have questions or complaints related to compliance with this policy by the Iowa Department of Education, please contact the legal counsel for the Iowa Department of Education, Grimes State Office Building, 400 E. 14th Street, Des Moines, IA 50319-0146, telephone number: 515-281-5295, or the Director of the Office for Civil Rights, U.S. Department of Education, Citigroup Center, 500 W. Madison Street, Suite 1475, Chicago, IL 60661-4544, telephone number: 312-730-1560, FAX number: 312-730-1576, TDD number: 877-521-2172, email: OCR.Chicago@ed.gov

PREFACE

Dear Adult Education and Literacy Coordinator:

You have assumed the role of an instructional leader at a time when your vision, skills and adult education paradigms will be tested. You will need to evaluate new ideas as you collaborate with the State consultants, your peers, your staff and other adult education and literacy organizations to contribute to the educational experience of adult learners in Iowa in the implementation of new federal guidelines outlined in the Workforce Innovation and Opportunity Act of 2014.

Adult education and literacy has never been more valued in Iowa than it is now. The information you acquire through this handbook to hone your knowledge and leadership skills will serve you well in your position and your program. This handbook contains pertinent information that you will help you to be successful.

While this manual is an excellent resource, it cannot serve as the only resource you will need to keep your knowledge of adult education and literacy current. Your state adult education and literacy consultants at the Division of Community Colleges will support your success. In addition, you and your staff have easy access to professional development support. This support provides research-based, adult education training and resources, including alternative delivery of training, with staff that will assist you in your continuous improvement as an instructional leader.

Ultimately, your success will contribute to the success of your program, staff and most importantly, your students. The students will be able to use what they achieve in your program to continue lifelong learning and earn credentials necessary for the 21st century. They will be able to obtain jobs, develop careers and gain citizenship skills which will result in an improved quality of life for themselves and their families. Good luck!

Alex Harris, Adult Education Program Consultant
State Director for Adult Education
Division of Community Colleges
Bureau of Adult, Career, and Community College Education

Table of Contents

<u>Section I: General Information</u>	4
<u>Section II: Grant Management</u>	14
<u>Section III: Policies and Program Operations</u>	32
<u>Section IV: Student Services</u>	52
<u>Section V: System Accountability</u>	78
<u>Section VI: Fiscal Management</u>	88
<u>Section VII: Professional Development System</u>	96
<u>Section VIII: Public Awareness and Communications</u>	103
<u>List of Figures</u>	109
<u>Appendices</u>	110

SECTION I: GENERAL INFORMATION

<u>Program Overview</u>	<u>5</u>
Federal Funding	5
State Funding	6
<u>Iowa Adult Education and Literacy</u>	<u>7</u>
Our Mission	7
Our Goals	7
State Leadership	8
State Plan	9
Strategic Plan	10
Service Areas	11
Performance Accountability WIA vs. WIOA	12
<u>Coordinator Responsibility</u>	<u>13</u>

Program Overview

The Iowa Department of Education (IDOE) recognizes that today's workplace presents numerous opportunities and challenges for adults. Employers need workers with strong basic skills and an ability to adapt to change. Today's families are faced with multiple responsibilities as they address their children's educational needs, as well as their own. Special populations, such as the homeless and incarcerated, must deal with additional challenges in order to lead safe and productive lives. To effectively serve the foundational learning needs of these diverse groups, a learning system that is flexible and responsive is necessary. The Iowa adult education and literacy program is developing such a system for adult learners.

Iowa's adult education and literacy programs build skills for success by providing adults with the opportunity to acquire and improve functional skills necessary to enhance the quality of their lives as workers, family members, and citizens. These programs play an important role in fostering productive employment, effective citizenship, personal and family growth, self-esteem, and dignity for adult learners. Educational services are available at little or no cost to adult learners and are designed to meet the educational needs of each individual.

This handbook is to ensure the administration of adult education and literacy programs are consistent with federal laws and regulations and the state's goals, policies and objectives. This handbook communicates the scope of the state's commitment to and support of adult education and literacy (English as a second language, workplace literacy and family literacy). The purpose of this handbook is to facilitate the improvement and expansion of adult education and literacy services to adults in Iowa.

Federal Funding

The purpose of the funding in Title II of the Workforce Innovation and Opportunity Act, also known as the Adult Education and Family Literacy Act (AEFLA), is to create a partnership among the Federal Government, States, and localities to provide, on a voluntary basis, adult education and literacy activities, in order to:

1. assist adults to become literate and obtain the knowledge and skills necessary for employment and economic self sufficiency;
2. assist adults who are parents or family members to obtain the education and skills that
 - a. are necessary to becoming full partners in the educational development of their children; and
 - b. lead to sustainable improvements in the economic opportunities for their family;
3. assist adults in attaining a secondary school diploma and in the transition to postsecondary education and training, including through career pathways; and
4. assist immigrants and other individuals who are English language learners in
 - a. improving their
 - i. reading, writing, speaking, and comprehension skills in English; and
 - ii. mathematics skills; and
 - b. acquiring an understanding of the American system of government, individual freedom, and the responsibilities of citizenship

Factors that shall be considered for federal funding include program strategies to serve, at a minimum, the following populations:

1. Low-income students;
2. Individuals with disabilities;
3. Single parents and displaced homemakers;
4. Individuals with multiple barriers to educational enhancements, including individuals with limited English proficiency.

Participation in these programs is limited to adults and out-of-school youths age 16 and older who are not enrolled or required to be enrolled in secondary school under state law. The amount of funding each state receives is based on a formula established by Congress. States, in turn, distribute funds to local eligible entities to provide adult education and literacy services. In Iowa, the IDOE distributes these federal funds to local programs. The National Reporting System (NRS) is the accountability system that tracks the core and follow up measures mandated by WIA. The NRS includes student measures to describe adult education students, program participation, and assessment of the impact of adult education instruction, methodologies for collecting the measures, reporting forms and procedures, and training and technical assistance activities to assist states in collecting the measures. States are required to report data to the NRS, to meet performance standards for student outcome measures, and to assess local program effectiveness using these standards.

State Funding

In the 2013 State legislative session funds were allocated for adult education and literacy as part of the [Iowa Skilled Workforce and Job Creation Fund](#), including an amount for English as a second language learners. With this allocation came a state issued definition of adult education and literacy programs in a new section 260C.50:

For purposes of this section, "adult education and literacy programs" means adult basic education, adult education leading to a high school equivalency diploma under chapter 259A, English as a second language instruction, workplace and family literacy instruction, or integrated basic education and technical skills instruction.

The funds aim for:

1. Increased and improved services to adult learners and their families through the coordination of funding streams and programs; and
2. Increased and expanded adult and family literacy education programs so that adults and their families will function more effectively in their personal lives and as citizens and be better prepared for workforce training and employment that they may become more responsible and productive members of society.

The department, through the Division of Community Colleges is designated as the agency for administration of adult basic education programs and for supervision of the administration of adult basic education programs. The division is responsible for the allocation and distribution of state and federal funds for adult basic education programs. In addition, the division may adopt rules and regulations for the administration of adult basic education programs aligned with federal guidelines.

Federal and state funds are meant to supplement the efforts of the local program in addressing the needs of the targeted adult learners. Due to the core measures, the quality of instruction must be sufficient to ensure educational gains are achieved. Follow-up measures are indicators of success in the development of the talent pipeline and therefore the local program must be aware of the regional needs of the targeted adult learners. Community involvement is discussed further in [Section V: System Accountability](#).

Iowa Adult Education and Literacy

Just as the needs of the adult learner is diverse, the services that adult education and literacy can provide is wide ranging to prepare the participant for post secondary credentials and career pathways. Services available at programs throughout the state include instruction in one or more of the following:

- **Basic Skills Instruction** in reading, writing, math, listening, and speaking;
- **HSED Test Preparation** in science, social studies, mathematics, language arts-reading, language arts-writing, and calculator training;
- **English as a Second Language** in pre-literacy, reading, writing, listening, speaking, grammar, U.S. history and government, and cultural literacy;
- **Thinking and Learning Skills Instruction** in creative thinking, decision-making, problem-solving, and learning and reasoning;
- **College Readiness Skills Instruction** in organization and time management, technology, goal setting, test taking skills, and self-advocacy;
- **Workplace Literacy Skills Instruction** in goal-setting, career planning, personal work attributes, and employability skills;
- **Life-Coping Skills Instruction** in budgeting, nutrition, consumerism, and family relationships and parenting, and
- **Digital Literacy Skills** in keyboarding, word processing and other introductory skills.

Our Mission

The mission of Iowa's AEL program is:

To provide accessible, quality instruction that develops life, work, and literacy skills.

Our Goals

Goals of local Adult Education and Literacy programs are to:

1. assist adults to become literate and obtain the knowledge and skills necessary for employment and self-sufficiency;
2. assist adults who are parents or family members to obtain the education and skills that –
 - A. are necessary to becoming full partners in the educational development of their children, and;
 - B. lead to sustainable improvements in the economic opportunities for their family;
3. assist adults in attaining a secondary school diploma and in the transition to postsecondary education and training.
4. assist immigrants and other individuals who are English language learners in –
 - A. improving their –
 - i. reading, writing, speaking, and comprehension skills in English; and
 - ii. math skills; and
 - B. acquiring an understanding of the American System of Government, individual freedom, and the responsibilities of citizenship.

State Leadership

Provide leadership, technical assistance and oversight to local adult education and literacy programs that supports their integration in the workforce system to better serve all students, including those transitioning to further education and training.

Alex Harris

State Director for AEL

Areas—Grant management and policy

515-281-3640

alex.harris@iowa.gov

Lisa Gard

Education Consultant

Areas—Data management and

Assessment policy

515-281-3125

lisa.gard@iowa.gov

Vacant

Education Consultant

Areas—Adult Basic Education and

Instructional Services

Mike Williams

Education Consultant

Areas—HiSET™ Testing and Career

Pathways

515-725-2005

mike.williams@iowa.gov

Vacant

Education Consultant

Areas—English as a Second Language and Civics

Northwest Region:

NCC, ILCC, NIACC and WITCC

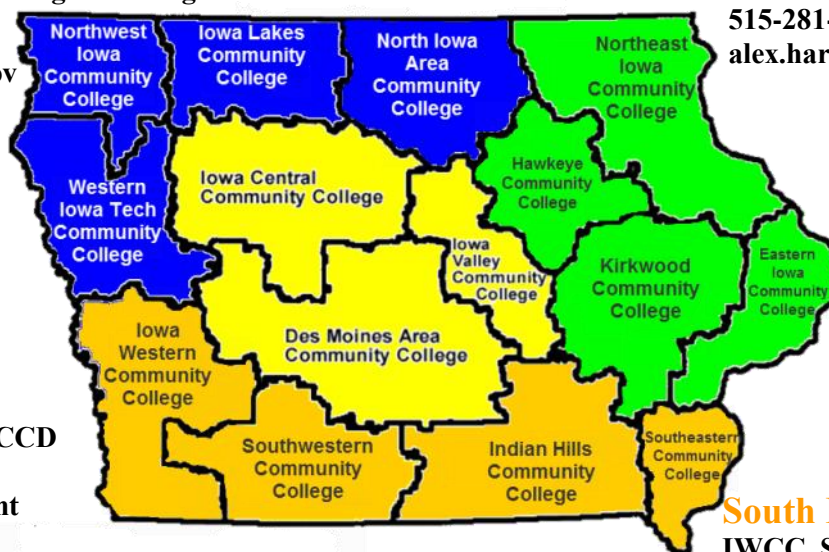
Mike Williams

Education Consultant

515-725-2005

mike.williams@iowa.gov

Figure 1: Regional Areas



Central Region:

DMACC, ICC, IVCCD

Lisa Gard

Education Consultant

515-281-3125

lisa.gard@iowa.gov

Eastern Region:

NICC, HCC, KCC, EICC

Alex Harris (Interim)

Administrative Consultant

515-281-3640

alex.harris@iowa.gov

South Region:

IWCC, SWCC, IHCC, SCC

Mike Williams (Interim)

Education Consultant

515-725-2005

mike.williams@iowa.gov

State Plan

The state plan is an agreement between the state of Iowa and the federal government to assure the administration of adult education and English literacy programs are consistent with the state's goals, policies and objectives, and with the implementation of the Workforce Innovation and Opportunity Act—WIOA (2014), federal laws and regulations. The plan communicates the scope of the state's commitment to and support of adult education and family literacy to the federal government.

The plan also serves to clarify the relationship of the Iowa Department of Education to the federal government, as well as to agencies within the state through collaboration and building of a unified state plan for education and workforce systems among core partners as identified under WIOA. that are delivering adult education and family literacy programs and services. The purpose of the plan is to facilitate the improvement and expansion of adult education programs including family literacy and workplace readiness skills, and workforce training as incorporated into existing content standards, English literacy, corrections education, adults with disabilities, and other literacy services to adults in Iowa.

The major purposes of Iowa's Adult Literacy Program State Plan Extension for Program Year 2016 (July 2015--June 2016) are to:

- Identify duplication and/or gaps in required activities based on WIOA legislation and build alignment with core and partnered programs to ensure service strategies meet the needs of the participant, the region and the workforce system as seamlessly and integrated as possible.
- Implement the recently adopted and filed Iowa Administrative Code in relationship to providing high quality professional development activities. This includes using the College and Career standards in instruction and improving the educational gains of Iowa's adult learners through teacher quality.
- Promote accountability and transparency in investing in adult education by evaluating approaches and aligning performance accountability (enrollment, level gains, and core outcomes) to support program management, guide strategy development, and drive continuous quality improvement.
- Build capacity within the adult education and literacy programs that link with career pathway programs funded from WIOA and the Iowa Skilled Workforce and Job Creation Fund. Participate with community, businesses and sector boards to provide basic literacy and numeracy skills for college and career readiness. Develop, disseminate and launch a competitive funded Adult Education and Literacy Plus Pathway in 2016 to capture best practices and transition models for incorporating job readiness and post secondary credit and credentialing at all levels of adult education.

The plan extension is designed to update the 2015 Iowa's Adult Literacy State Plan in line with the guidelines provided by the United States Department of Education: Division of Adult Education and Literacy (USDE:DAEL). This one-year extension plan includes assurances to the federal government and to the citizens of the state of Iowa, and establishes procedures, criteria, and priorities for use in approving local agency programs of adult education, English literacy, civics, and family literacy in all areas of the state.

Strategic Plan

During the spring of 2015, after a series of webinars shared with local programs discussing the transition to WIOA with several “homework” discussion questions and surveys, the state adult education and literacy team met to discuss the results. While the work was framed around “where do we see AEL in five years?” there were some strategic questions that were established to guide the strategic planning for the adult education and literacy system through 2020. Those questions served as the framework for accountability measures with key indicators that would help to monitor progress as we moved closer to our goals.

- | | |
|-------------|--|
| Question 1. | Are more Iowans enrolled in adult education and literacy programs? |
| Indicator: | Number of enrolled in adult education programs. |
| Question 2. | Are more students meeting their educational goals? |
| Indicator: | Demonstrated improvements in gaining a skill level. |
| Indicator: | Receipt of a high school equivalency diploma. |
| Question 3. | Are more students advancing on to postsecondary education or job training? |
| Indicator: | Number of adult students with a goal of advanced education or job training who enter post secondary education or training. |
| Indicator: | Number of HSED graduates enrolling in college at college level or credentialing in job training programs. |
| Question 4. | Are more students preparing for, entering or sustaining employment? |
| Indicator: | Number of adult students unemployed and looking for work who get a job. |
| Indicator: | Number of adult students employed who maintain or improve their jobs. |
| Question 5. | Are families, communities and economy benefiting? |
| Indicator: | Return on investment as defined by earnings of AEL students who secured employment. |
| Indicator: | Number of adult students who obtain skills to pass the U.S. citizenship exam. |
| Indicator: | Number of adult students who register to vote or vote for the first time. |

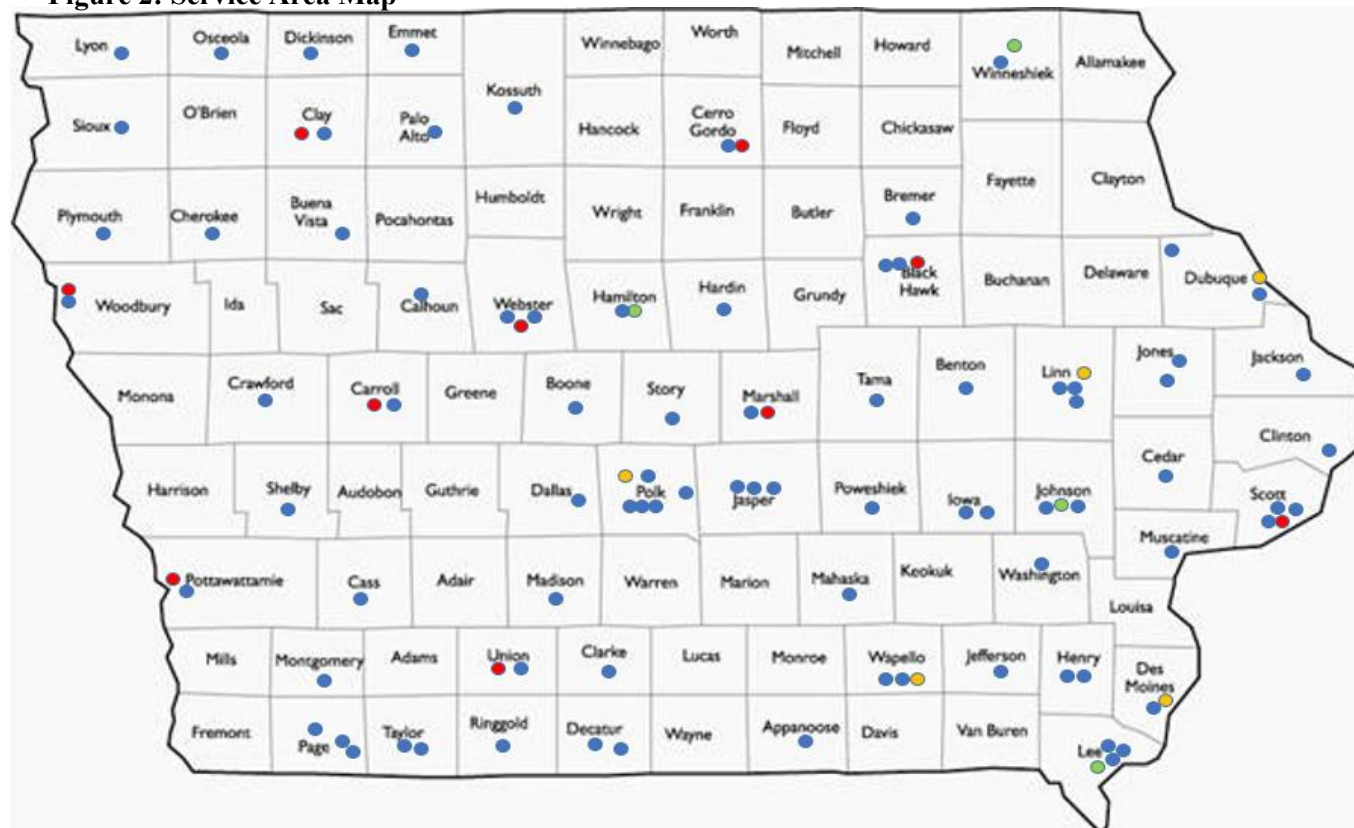
Based on the focus of the five questions and the recommendations received from the field goal areas were defined and objectives were established in the following four areas:

- Instructional Systems
- Data and Accountability
- Career Pathways
- Monitoring and Evaluation

The content of this [Strategic Plan](#) will be posted on the IDOE website to be used to guide the development of the Unified State Plan elements with core partners related to specific activities associated with adult education and literacy services.

Service Areas*

Figure 2: Service Area Map



Refer to the [AEL Coordinator Contacts](#) for addresses and phone numbers.

* The locations are approximate and meant to represent county coverage.

Performance Accountability WIA vs. WIOA

WIOA includes common performance measures, or “primary indicators of performance,” for its six core programs (Title I Youth program, Title I Adult program, Title I Dislocated Worker program, Title II Adult Education and Family Literacy program, Title III Employment Service, and Title IV Rehabilitation Services program). While there are variations in the Title I Youth program and Title III Employment Service, most measures are consistent across all six programs.

This is the broadest application to date of common measures across the workforce system; it signals Congressional intent to promote more integrated programming and accountability at the state and local levels. In particular, the addition of a credential attainment rate and a skill gains rate will help align objectives across the core programs.

The figure below highlights the differences between the core indicators and outcome measures between the two federal regulations:

Figure 3: Core Indicators of Performance and Outcome Measures

Core Indicators of Performance and Outcome Measures	
Core Indicators of Performance Required by WIA	Core Indicators of Performance Required by WIOA
Educational functioning levels in reading, writing, speaking, and listening and functional areas.	The percentage of program participants who, during a program year, are in an education or training program that leads to a recognized postsecondary credential or employment and who are achieving measurable skill gains toward such a credential or employment.
Learners enrolling after exit in a postsecondary educational or occupational skills program building on prior services or training received.	The percentage of program participants who obtain a recognized postsecondary credential, or a secondary school diploma or its recognized equivalent (subject to clause 4 (iii)), during participation in or within 1 year after exit from the program.
Learners who obtain a job by the end of the first quarter after the exit quarter.	The percentage of program participants who are in unsubsidized employment during the second quarter after exit from the program
Learners who obtain a job and remain employed in the third quarter after program exit.	The median earnings of program participants who are in unsubsidized employment during the second quarter after exit from the program.
Learners who obtain a HSED, secondary school diploma, or recognized equivalent after exit.	The percentage of program participants who are in unsubsidized employment during the fourth quarter after exit from the program.
	The indicators of effectiveness in serving employers established pursuant to clause (iv).

Coordinator Responsibility

Coordinator's help to establish the local vision and focus, this is articulated to the state through the local extension plan, the status update and through program monitoring. Awareness of the state goals and mission will help the local program to maintain alignment with state led initiatives.

Coordinator involvement in the development of specific standards, such as instructors and professional development has been invaluable to the state's adult education and literacy programs. Continued input, as circumstances allow, would be a benefit to both the individual program and to the state.

Coordinators are responsible for compliance with the federal regulations as a recipient of grant funds. Compliance is reviewed during the annual [monitoring](#) and includes programmatic, fiscal and data related integrity. In PY 2015 a classroom observation tool is being expanded from the previous version and is based on the Standards in Action training that Iowa participated in for 2014. This observation has been updated to reflect [instructor standards](#) and is designed to be formative, non-threatening, and forward-looking and to help the state and programs identify professional development needs.

Coordinator's also assist by participating in committees designed to study and research relevant adult education and literacy issues in Iowa. Additionally, coordinators serve as members of the Coordinator Group. This group meets at least monthly, the third Thursday, either virtually or face to face. The leadership of the Group is derived from coordinators volunteering their time and talents to the group. Rather than continue with an end of year switch and to allow for long term planning, PY 2015 began the process to move toward a sequential system. The assignments through PY 2018 have been assigned:

Figure 4: Coordinator Roles

Program Year	Chair	Vice Chair	Secretary
PY2016	Area XVI	Area II	Area XV
PY2017	Area II	Area XV	Area XIV
PY2018	Area XV	Area XIV	Area XIII

Each role contributes toward the Group's purpose and has generally been defined as:

Chair—Organizes the agenda; schedules any presenters for the meeting; plan face to face meetings as needed; facilitates the virtual or face to face meeting; ensures notes and/or recordings are done and distributed timely; communicates with the group as frequently as needed—emails, wiggio group, or conference calls.

Vice Chair—Serves as liaison for the Leadership Committee and as a chair for the AEL Institute Planning Committee; serves as assigned by the chair on other associated committees; assumes the responsibilities of the Chair if the Chair is absent.

Secretary—During the meeting, performs roll call, takes notes and distributes notes, recordings and relative information in a timely manner to the Group; communicates with the Group as directed by the Chair to share relevant information as needed—emails, wiggio group, or conference calls.

SECTION II: GRANT MANAGEMENT

<u>Iowagrants Overview</u>	<u>15</u>
<u>Applications</u>	<u>15</u>
Purpose of Application	17
Funding Formula	18
Elements of the Grant	18
Guiding Principles	19
Signature Page	22
Assurances	22
Budgets	26
Review Process	27
<u>Claims</u>	<u>28</u>
Amendments	29
Negotiations	30
<u>Status Reports</u>	<u>31</u>
Mid Year Report	31
End of Year Fiscal Report	31
State Funding Report	31

Iowagrants Overview

At its simplest, Iowagrants is a grants management system designed to do two things: store basic information about grant projects and track the grant's status as it moves through the process. By moving to an online system, Iowagrants has considerably streamlined the operations of grant management by reducing the need to manage paper proposals, enter data, and follow up on missing information.

Online applications collect information from prospective grantees in online data fields like text boxes, dropdown boxes, and checkboxes, and let grantees upload files. **Note:** Online forms can “time out” unexpectedly and lead to the loss of significant time and data entry. These forms are customizable and change with added information or adjusted questions based on program specific needs—WIOA implementation has led to many “new” questions appearing on the application forms.

Once applications are submitted, applicants should receive confirmation emails and communication as the application moves through the process of review, approval, awarding and being set to underway. This method of relationship and communication management helps to keep the interaction documented and tracked within Iowagrants.

Once a grant is approved, Iowagrants will issue reminders to file progress reports and status update reports that alert grantees when requirement deadlines are approaching. In addition, Iowagrants is the system used to manage the payment process through claims tied to the budget submitted in the application.

Specifics in the planning, writing, and submitting of applications is presented in the Grant Application packet and the webinar launching the release of the funding opportunity. Programs should review this information in conjunction with the Iowagrants application to develop a complete understanding of the process, intent, and requirements of the application process.

To access IowaGrants, go to the following link: <http://www.iowagrants.gov>.

Applications

In accordance with the *Adult Education and Family Literacy Act* (AEFLA), Title II of the *Workforce Innovation and Opportunity Act* (WIOA) of 2014, the purpose of this funding opportunity is to assist eligible applicants in developing instructional programs and partnerships to provide services that focus on the following outcomes:

- Assist adults to become literate and obtain the knowledge and skills necessary for employment and economic self-sufficiency;
- Assist adults who are parents or family members to obtain the education and skills that are necessary to becoming full partners in the educational development of their children and lead to sustainable improvements in the economic opportunities for their family;
- Assist adults in attaining a secondary school diploma and in the transition to postsecondary education and training, including through career pathways; and
- Assist immigrants and other individuals who are English language learners in improving their reading, writing, speaking, and comprehension skills in English; mathematics skills; and acquiring an understanding of the American system of Government, individual freedom, and the responsibilities of citizenship.

The Iowa Department of Education (IDOE), Division of Community Colleges, Bureau of Community Colleges, administers the AEFLA grant. The State Adult Education staff provides leadership and oversight to AEFLA programs and services in Iowa. This is clarified in Chapter 23—Adult Education and Literacy Programs:

281—23.3(260C) Program administration. The department, through the division of community colleges, is hereby designated as the agency for administration of state and federally funded adult basic education programs and for supervision of the administration of adult basic education programs. The division shall be responsible for the allocation and distribution of state and federal funds awarded to eligible institutions for adult basic education programs through a grant application in accordance with this chapter and with the state plan.

In addition, Chapter 23.2(3) The state has the right under federal legislation to establish the funding formula and to issue a competitive bidding process. Currently, the applications are a continuation and transition to WIOA. Applications are accessed through Iowagrants. A login must be created and approved prior to being able to access Adult Literacy applications. Logins can be created through Enterprise A&A (Authentication and Authorization). When notification of the funding opportunity has been released it can be accessed through the main menu—funding opportunities.

Figure 5: Iowagrants Login

[Enterprise A&A](#) [Sign In](#) [Create An Account](#) [Forgot Password](#) [Forgot Id](#)

DOM Electronic Grant Management System

Enter your Account Id and Password and press sign in to continue.

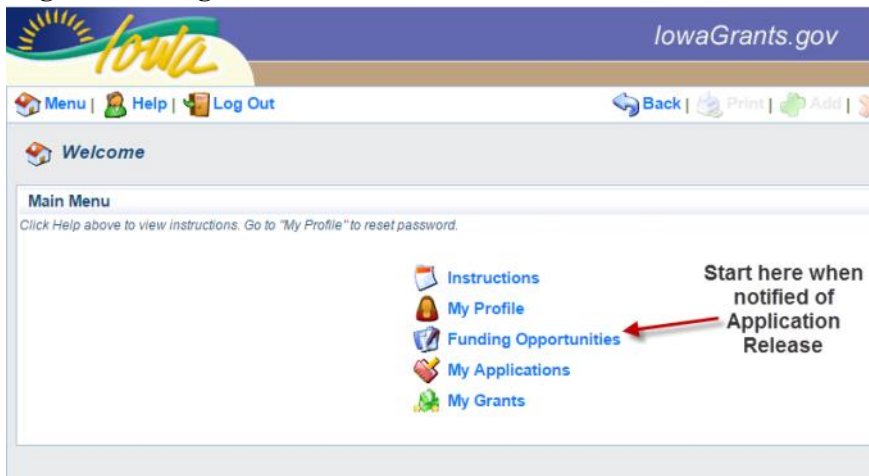
Account ID:

Password:

[Sign In](#)

[Account Details](#)

[What is A&A?](#)
[Help](#)
[Report Issue to State Service Desk](#)

Figure 6: Iowagrants Main Menu

Purpose of Application

The purpose of issuing an application is for grantees to address key required components of an adult education and literacy program outlined in the federal guidelines:

- The past effectiveness of an eligible provider in improving the literacy skills of adults and families and the success in meeting or exceeding performance measures, especially with respect to those with the lowest levels of literacy.
- The commitment to serve individuals who are most in need of literacy services.
- Whether or not the program is of sufficient intensity and duration for participants to achieve substantial learning gains and uses instructional practices that research has proven to be effective in teaching individuals to read (such as phonemic awareness, systematic phonics, fluency and reading comprehension).
- Whether the activities are built on a strong foundation of research and effective educational practice.
- Whether the activities effectively employ advances in technology, as appropriate, including computers.
- Whether the activities provide learning in real life context to ensure that an individual has the skills needed to compete in the workplace and exercise the rights and responsibilities of citizenship.
- Whether the activities are staffed by well-trained instructors, counselors and administrators that meet the minimum qualifications specified in the IAC 281:23 and access to high quality professional development, including through electronic means.
- Whether the activities coordinate with other available resources in the community, such as establishing strong links with elementary and secondary schools, postsecondary educational institutions, One-Stop Career Centers, job training programs, and social service agencies.
- Whether the activities offer flexible schedules and support services (such as childcare and transportation) that are necessary to enable individuals to attend and complete programs.
- The maintenance of a high-quality information management system that has the capacity to report participant outcomes and to monitor performance against the eligible agency performance measures.
- Whether the local communities have a demonstrated need for additional English literacy programs.
- Whether assurances are provided to maintain a high-quality information management system as approved by the state, TopsPro Enterprise (TE®), which has the capacity to report participants outcomes and to monitor program performance against the established benchmarks by adhering to the assessment policy.
- Whether there is collaboration with the One-Stop Centers, and a description of any cooperative agreement (MOU) that the eligible provider has with other agencies for the delivery of adult education and literacy activities that detail any cost sharing agreement.
- Strategies to fulfill one-stop partner responsibilities as described in section 121(b)(1(A)).

The application provides a framework for program excellence, accountability, and continuous improvement in adult education. The application serves to measure progress through federal and state indicators of program quality.

Funding Formula

The annual projected allocation of the federal AEFLA is based on a formula as identified in the *Iowa's Adult Literacy Program State Plan Extension Program Year 2014 (page 14)*. The current funding formula is as follows:

- 1) Eighty five percent (85 percent) of the funds available shall be allocated based on needs: institutional grant; target AEFLA population; and number of enrolled students served; and
- 2) Fifteen percent (15 percent) of the funds available shall be allocated based on performance. This year will bring a stronger focus for the state of Iowa on federal benchmarks and core measures. Iowa will be basing the allocation on PY 2014's outcomes and each eligible provider's contribution to the targeted percentages.

The integrated English literacy and civics (EL/Civics) allocation will be based on a similar funding formula to the AEFLA grant allocation. By incorporating a performance based funding focus for EL/Civics, Iowa is encouraging local programs to maintain accountability of students served by the grant. The needs based element of the funding formula will include EL/Civics enrollment, target EL/Civics population and an institutional grant for each eligible provider.

In addition, a separate amount was established to address the English as a Second Language needs in Iowa. To serve that and as directed by legislation, "The Department of Education is directed to establish an application process and criteria to award grants pursuant to this subparagraph to community colleges. The criteria shall be based on need for instruction in English as a second language in the region served by each Community College as determined by factors including data from the latest federal decennial census and outreach efforts to determine regional needs." 75% of the funding is based on identified need as related to the region of the community college area divided among community survey data of limited English proficiency and enrolled English language learners. The remaining 25% is awarded as an institutional grant to serve those needs not yet captured by census data allowing for fluctuations in immigration trends.

Elements of the Grant

While specifics might be adjusted from year to year, the core of the application will remain:

- Contact Information*
- Assurance and Certifications*
- Minority Impact Statement*
- **Narrative of Services**
- **AEL Services Transition to WIOA**
- **Instructional Practices and Technology under WIOA**
- **Information Management and Accountability**
- **Professional Development Plan**
- AEFLA Budget Summary
- Workforce Investment Board Participation and Comment
- Integrated English Literacy/Civics

*Universal forms

Guiding Principles

Within each key element of the grant there are guiding principles that are captured in the directions and the intent of the required purposes. For each section a checklist of guiding principles will be provided:

Narrative of Services—Guiding Principles:

- The program has an planning process that is ongoing and participatory; guided by evaluation; based on community demographics, needs, resources, economic trends, and local conditions; and demonstrated in their narrative.
- Continuous program improvement is documented annually in a written account of previous program effectiveness.
- The program builds ongoing partnerships with local employers, workforce centers, employment agencies, postsecondary institutions, and other community resources, as evidenced by collaborative projects, letters of support, or documented student referrals.
- The program coordinator and/or designee attends meetings of the local Workforce Investment Board and/or Council to which he/she has been appointed, as evidenced by meeting agendas
- The program is in compliance with the Americans with Disabilities Act of 1990; the Rehabilitation Act of 1973; the Workforce Investment Act of 1998; the Civil Rights Act of 1964; the Individuals with Disabilities Education Act of 1990; and applicable Iowa laws and statutes.
- The program successfully recruits populations most in need of literacy services, as identified by needs assessments and demographic data.
- The program has a comprehensive learner orientation process that includes learner expectations and program requirements; appropriate assessment; and goal-setting.
- The program has identified community resources to assist adults with counseling, employment, postsecondary education/training, and learning or physical disabilities.
- The program implements recruiting strategies designed to reach qualifying adult learners with minimal literacy skills and those most in need of literacy services, as evidenced by documented learner participation.
- The program collaborates with agencies and community organizations that provide documented learner referrals.
- Program staff members are aware of and have available to them a written listing of community resources for participant referral and keep documentation of any referrals made through the local adult education program.

AEL Services Transition to WIOA—Guiding Principles:

- The program provides services in areas indicated in the original grant application and subsequent follow-up extensions and documented in their TE® data.
- The program provides year-round adult education and literacy services during the program year, which runs from July 1 through June 30, as evidenced by published class schedules.
- Classes are of sufficient intensity and duration for learners to achieve substantial learning gains; documented by a written class schedule that includes one or more managed-entry classes; and evidenced by class schedules, and TE® data.

Instructional Practices and Technology under WIOA—Guiding Principles:

- The program successfully integrates technology that is demonstrated in learner classroom experiences, professional development opportunities, and enhanced administrative functions of all program staff.
- Program staff has the skills necessary to use a variety of technology in and out of the classroom.
- Program staff is provided professional development opportunities to enhance their personal technology skills when needed.
- Teachers have adequate technology available in the classroom such as computers, internet access, instructional software, SMART Boards™, and LCD projectors.
- Teachers are provided professional development opportunities on how to integrate technology into instruction and the student learning experience, and are doing so, as evidenced in their written lesson plans.
- The program uses instructional planning, resources, and strategies that are research-based, effective, and driven by learner educational functioning levels, learning styles, and personal and program goals.
- Instructional planning is driven by learner goals, assessment results, learning styles, and physical or learning disabilities, and evidenced in documented goal setting, learning style inventories, documented accommodations, and written lesson plans.
- Instructional planning integrates standards-based instruction, research-based resources, skills, and strategies into learning activities taught in the context of real life adult roles as workers, citizens, and family members, and, evidenced in written lesson plans.
- The program director and instructional staff have a working knowledge and awareness of learning disabilities and appropriate accommodations. Learner records contain evidence
- The program provides rigorous standards-based instruction in reading, writing, language,
- and math that is research-based and supportive of the College and Career Readiness Standards initiative, as evidenced by written lesson plans and classroom observations.
- Reading instruction for adults includes integration of phonemic awareness, systematic
- phonics, alphabets, vocabulary, fluency, and/or comprehension strategies appropriate to learner educational functioning levels; and is evidenced in written lesson plans.
- The program has available and readily accessible to learners and teachers a variety of instructional resources and reading materials appropriate for adult learners at all educational functioning levels and address various levels of text complexity, as evidenced by a resource inventory and/or classroom observation of materials.
- This classroom observations should include a demonstration of instructional services but not limited to the following areas:
 - Written lesson plans that integrate standards-based instruction, research-based resources, materials, skills, strategies appropriate for the levels of learners in the class, and taught in the context of real life, learner goals, and adult roles of worker, citizen, and family member.
 - Appropriate integration of technology.
 - Instructional accommodations for diverse learning styles and/or disabilities.
 - Classroom learning environment that is appropriate for and supportive of adult learners.

Information Management and Accountability—Guiding Principles:

- Learners enrolled in the program make progress toward improving their basic skills and achieving personal and program goals consistent with assessed educational needs.
- The state Assessment Policy is followed to ensure that valid learning gains are collected according to state policy and test publisher's guidelines and documented in student files, TE® data, and NRS reports.
- The state goal that a minimum of 60% of all learners will be pre and post tested is met or exceeded and documented on NRS Table 4b.
- The state goal that a program's average contact hours increase from the previous fiscal year is met and documented by data found on NRS Table 4.
- TE® data entry is updated monthly to reflect accurate and timely records including attendance hours, assessment scores, demographics, and key information required for reporting purposes, and verified no less than quarterly through a state desktop monitoring process.
- A student's status is changed from "enrolled" to "left" when they have no attendance hours for 90 consecutive days.
- The state goals for the NRS Federal Core Indicators of Performance are met or exceeded and documented on NRS Tables 4 and 5.
- The state Goal-Setting Policy is implemented and documented in written instructional planning and learner files.
- Classes are of sufficient intensity and duration for learners to achieve substantial learning gains; documented by TE® data.
- The program coordinator demonstrates a working knowledge and understanding of TE® data and the impact of local program data on funding and meeting state performance goals.
- The program coordinator uses program data to help direct program improvement and planning, as evidenced in their application.
- The program coordinator ensures that an adequate number of staff is trained to correctly use the state's TE® management information system and that data entry is kept current, as evidenced through the monitoring process.
- TE® data entry is updated monthly to reflect accurate and timely records including attendance hours, assessment scores, demographics, and key information required for reporting purposes, and verified no less than quarterly through the state monitoring process.
- A student's status is changed from "enrolled" to "left" when they have no attendance hours for 90 consecutive days.

Professional Development Plan—Guiding Principles:

- The program provides ongoing professional development that addresses specific program needs, considers training in the areas necessary to provide quality instruction, and includes monitoring and follow-up to ensure new knowledge, skills, and strategies transfer into overall program improvement.
- The program coordinator and/or designee regularly observes classes and conducts teacher observations to ensure program quality and accountability.
- The program has an established system that documents teacher planning time and ensures that planning time is used appropriately.
- Annually the program identifies areas of strength and areas needing improvement and provides professional development opportunities supportive of program improvement. Examples might include: study circles, book clubs, online training, workshops, conferences, mentoring or coaching, project-based learning, practitioner research, or instructional training in specific content areas relevant to adult learners.
- The program coordinator promotes and supports professional development of teachers and staff by providing or informing them of relevant opportunities in a timely manner.

AEFLA funds support three major instructional services. First, they provide for adult basic education (ABE) instructional services for adults who are performing below the ninth-grade level in reading, writing, mathematics, and other basic skills. Second, the funding supports adult secondary education (ASE) instruction for adults who are performing at or above the ninth-grade level in reading, writing, mathematics, and other basic skills. Many adults at the ASE level are preparing for the assessment to obtain their High School Equivalency Diploma. The third area is English for speakers of other languages (ESOL) instructional services. These services are designed to increase the English proficiency of limited-English-speaking adults in reading, writing, speaking, and listening. Many approved programs may also include civics-related instructional activities, such as health literacy, family literacy, and financial literacy.

Signature Page

The application if accepted and awarded forms a contractual relationship between the grantee and the Iowa Department of Education. For contract purposes an updated original signature page from the grantee must be mailed in to the department at the time of submission. These signature pages are kept on file in a secure location.

Assurances

Contractually to receive funds through the Adult Education and Family Literacy Act (AEFLA), Title II of the Workforce Investment Act of 1998, and now Title II of the Workforce Innovation and Opportunity Act requires the chief executive officer of the eligible provider to sign certain general and specific assurance statements on behalf of the local program to certify commitment to abide by requirements through the period of this grant award. Those assurances are detailed below:

1. The applicant will comply with Title VI of the Civil Rights Act of 1964 (45 USC 2000d through 2000d-4) and its implementing regulations (34 CFR Part 100), and in accordance therewith, no person shall, on the grounds of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity for which the applicant received federal financial assistance.
2. The applicant will comply with Section 504 of the Rehabilitation Act of 1973, as amended, 29 USC 794, and its implementing regulations (34 CFR Part 104), which prohibits discrimination based on disability in programs and activities receiving federal financial assistance.
3. The applicant will comply with Title II of the Americans with Disabilities Act, (42 USC 12134), et seq. and its implementing regulations (28 CFR Part 35), which prohibit discrimination on the basis of disability to public entities, or it will comply with Title III, (42 USC 12181) et seq., and its implementing regulations (28 CFR part 36), which prohibit discrimination on the basis of disability in public accommodations, whichever is applicable.
4. The applicant will comply with Title IX of the Education Amendments of 1972, as amended, (20 USC 1681-1683), and its implementing regulations (34 CFR Part 106), which prohibit discrimination on the basis of sex in education programs and activities receiving federal financial assistance.
5. The applicant will comply with the Discrimination Act of 1975, as amended, (42 USC 6101) et seq., and its Implementing regulations (45 CFR Part 90), which prohibit discrimination on the basis of age in programs or activities receiving federal financial assistance.
6. All contractors or others with whom it arranges to provide services or benefits to its students or employees in connection with its education programs or activities are not discriminating in violation of the above-cited statutes, regulations, guidelines and standards against those students or employees.
7. The applicant will administer each program in accordance with all statutes, regulations, program plans, policies and applications applicable to that program.
8. The applicant will adopt and use proper methods of administering each program, including

- a. the enforcement of any obligations imposed by law on agencies, institutions, organizations, and other recipients responsible for carrying out each program, and
 - b. the correction of deficiencies in program operations that are identified through audits, monitoring, or evaluation.
9. The applicant will cooperate in carrying out any evaluation of each program conducted by or for the Iowa Department of Education, the United States Secretary of Education or other federal officials.
10. The applicant will retain all records relating to a program for which federal funds are received for a period of five years after the completion of the activity for which the funds are used or until such time greater than five years as all pending reviews or audits have been completed and resolved.
11. The applicant has adopted appropriate procedures to implement the terms of the Family Educational Rights and Privacy Act of 1974, (20 USC 123g) and its regulations (34 CFR Part 99).
12. None of the funds expended under any programs will be used to acquire equipment (including computer software) in any instance in which such acquisition results in a direct financial benefit to any organization representing the interests of the purchasing entity or its employees or any affiliate of such an organization.
13. The applicant shall repay all funds determined to be due to the federal government because of a disallowance decision in a manner deemed reasonable by the state or the federal government.
14. To the extent authorized by law, the applicant shall indemnify, save, and hold harmless the State, its employees and agents, against any and all claims, damages, liability and court awards including costs, expenses and attorneys fees incurred as a result of any act or omission by it, or its employees, agents, subcontractors or assignees in its operation of the programs.
15. The applicant will maintain such records, including those pertaining to fiscal audit and program evaluation, and provide access to records upon request to representative of Iowa Department of Education or the US Department of Education.
16. The applicant will make reports to the Iowa Department of Education or the United States Secretary of Education as may reasonably be necessary to enable those parties to perform their duties.
17. The applicant certifies, by submission of this assurance form and by incorporating this form by reference in each of its applications for federal funds, that neither it nor its principals:
 - a. Are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in any transaction by any federal department or agency;
 - b. Have within a three-year period preceding this application been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense to connection with obtaining, attempting to obtain, or performing a public (federal, state, or local) transaction or contract under a public transaction; violation of federal or state antitrust statutes or commission of embezzlement theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
 - c. Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (federal, state, or local) with commission of any of the offenses enumerated above; and
 - d. Have not within a three-year period, preceding this application had one, or more public transactions (federal, state, or local) terminated for cause or default.
18. No federal appropriated funds have been paid or will be paid, by or on behalf of the recipient, to any person for influencing or attempting to influence an officer or employee of an agency, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress in connection with the making of any federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any federal grant or cooperative agreement.

18. The applicant shall require that the language of this certification be included in the award documents for all sub-awards at all tiers (including sub grants, contracts under grants and cooperative agreements, and subcontracts) and that all sub-recipients shall certify and disclose accordingly. {SOURCES: Section 1352, Title 31 of the US Code, 34 CFR Part 82}
19. Coordinate and collaborate to the extent feasible and necessary, as determined by the sub grantee, with other agencies providing adult basic education services.
20. The applicant has the necessary legal authority to apply for and receive the proposed grant.
21. The applicant's governing body, and the undersigned official, has been duly authorized to file this application from and on behalf of said applicant, and otherwise to act as the authorized representative of the applicant in connection with this application.
22. The activities and services for which assistance is sought under this grant will be administered by or under the supervision and control of the applicant.
23. The project will be operated in compliance with all applicable state and federal laws and in compliance with regulations and other policies and administrative directives of the Iowa Department of Education.
24. Fiscal control and accounting procedures will be used to ensure proper disbursement of all funds awarded.
25. The applicant will submit a status report mid-year and any data or financial report as specified, to the Iowa Department of Education, including information relating to the project records and access thereto as the Iowa Department of Education may find necessary.
26. The Iowa Department of Education reserves the exclusive right to use and grant the right to use and/or publish any part or parts of any summaries, abstracts, reports, publications, records and materials resulting from this project and this grant.
27. The applicant will protect and save harmless the Iowa Department of Education from financial loss and expense, including legal fees and costs, if any, arising out of any breach of the duties, in whole or part, described in the application for the continuing grant.
28. The applicant shall develop and maintain adequate documentation, in a manner prescribed by the Iowa Department of Education, of its good faith efforts.
29. The applicant agrees to comply with the regulations referred to in this section as they exist on the date of this contract and as they may be adopted or amended from time to time during the term of this contract and any amendments thereto.
30. The continuing grant award is subject to the approval of the Iowa Department of Education and availability of federal funds.

Assurance is granted the Iowa Department of Education **Specific to Financial Management** that:

1. The applicant agrees to be the fiscal agent for the grant award received from IDOE.
2. The applicant agrees to provide timely and accurate reports which include:
 - a. Requests for reimbursement
 - b. Budget amendment requests
 - c. End of Year Fiscal report
 - d. State Fiscal Expenditure Report
3. Any funds received under this grant will not be used to supplant non-federal funds normally provided for services of the same type, and the applicant agrees to maintain a record of actual expenditures with such fiscal control and accounting procedures as may be necessary to assure proper disbursement and accounting of federal funds.
4. The applicant assures that funds will only be expended on eligible activities outlined in the Adult Education and Family Literacy Act.
5. The applicant will operate in compliance with all federal/state rules, regulations, and state guidelines, maintaining effective control over, and accountability for all grant funds, property, and other assets. Grantees shall adequately safeguard all property and assets and shall assure that they are used solely for authorized adult education purposes as defined by AEFLA.
6. The applicant agrees to maintain and submit time-and-effort records for all employees funded through federal grant awards.
7. The applicant agrees that not more than 20 percent will be set-aside for corrections education and other institutionalized adults.
8. The applicant assures that funds will be used only for financial obligations incurred during the grant period. Carryover of funds from one fiscal year to the next is not allowed.
9. As a state requirement, the applicant will provide state and/or local (non-federal) matching expenditures equal to or greater than the aggregate amount expended during the preceding fiscal year. State and/or local matching will be a minimum of 25 percent of the federal funding per year.
10. The applicant assures that receipts and expenditures of all funds associated with adult education will be documented and accounted for, and available for review as required, for at least a period of five years.
11. The applicant assures that all fees and tuition collected from adult education students are used to provide additional adult education and literacy services that it would otherwise be unable to provide and that the collection of fees and tuition are documented.
12. Program income from tuition and fees must be reported to the Iowa Department of Education, and;
 - a. accounted for in program records by program allocation code, and
 - b. used only for costs allowable under AEFLA.
13. Unless otherwise negotiated, not less than 95 percent of the funds awarded to successful applicants shall be expended for carrying out adult education and literacy activities. The remaining amount, not to exceed 5 percent, shall be used for planning, administration, personnel development, and coordination. In any event, the funds utilized for the foregoing cannot exceed 15 percent of the grant funds awarded.
14. Applicant understands that funding is contingent upon federal and state legislation.

Budgets

Eligible applicants are responsible for developing budgets during the application process that reflect the planned activities for the grant period. Only expenditures that support approved AEFLA activities may be budgeted. Refer to [Section VI—Financial Management](#) for additional details on use of funds. All approved applicants will receive an official award notification. If the budget does not match the allocation an adjustment will need to be made prior to setting the grant underway. Budgets must be developed using standard state object codes.

The eligible applicant must a budget for the following categories of funds:

AEFLA Budget Summary

The IDOE is providing an estimated amount to be used for the budget summary. This amount is subject to change and dependent on final funding from U.S. Department of Education.. Adjustments will be made when the final allocation has been approved. The following budget codes will be used to establish the AEFLA budget. Funds to support Corrections and Institutions is capped at 20 percent. Administrative costs, either in Personnel or listed in Other for indirect costs is capped at 5 percent or the negotiated rate. Infrastructure or cost sharing with the One-Stop center must be included if there is an active MOU agreement.

Figure 7: AEFLA Budget Codes

101 Personnel Services (Salaries and Wages—Administration)
101 Personnel Services (Salaries and Wages—Instructional)
202 In State Travel (Meals, Lodging, and Registration)
205 Out of State Travel (Meals, Lodging and Registration)
301 Office Supplies and Materials (Curriculum and Training Materials)
602 Other Expenses & Obligations

Technology Budget

The eligible applicant will submit a budget based on a flat amount of 2 percent of the pass through money allocated to programs. ***The an estimated amount for all programs to be budgeted to reflect activities that are encouraging and developing technology integration for AEFLA funded programs.***

The expenditures can include instructional time for digital literacy instruction, as well as software and license fees. The following budget codes will be used to set the budget for technology:

Figure 8: Technology Budget Codes

101 Personnel Services (Salaries and Wages—Administration)
101 Personnel Services (Salaries and Wages—Instructional)
301 Office Supplies and Materials (Curriculum and Training Materials)
505 Data processing Non Inventory (Desktop Software, License fees)
602 Other Expenses & Obligations

Information Management (CASAS Testing Materials) Budget

Eligible applicants are awarded an additional allocation from AEFLA State Leadership funds to use for the purchase of CASAS Testing Material. These tests are to be used for assessing AEFLA eligible participants. ***The IDOE is allocating \$20,000 to programs based on a five (5) year average enrollment. The IDOE will not be purchasing additional testing units but covers the cost of the licensing of TopsEnterprise® and subsidizes the cost of the testing units for the local programs.***

Figure 9: Information Management Budget Code

301 Office Supplies and Materials (Curriculum and Training Materials)

Professional Development Funds Budget

Eligible applicants are awarded an additional allocation from AEFLA's State Leadership funds to use for professional development efforts. This year those efforts will be focused on expanding and incorporating key areas as identified and supported with state leadership funds.

The following budget codes will be used for Professional Development Funds. In-State Travel could include travel within the college area for instructors and administrators. Contracts are only for external presenters and not for program staff, such as AEA presenters or staff from another program. Personnel services can include the cost of a substitute as well as planning time.

Figure 10: Professional Development Budget Codes

101 Personnel Services (Salaries and Wages—Instructional—PD related)
202 In State Travel (Meals, Lodging, and Registration)
301 Office Supplies and Materials (Curriculum and Training Materials)
405 Contracts (External Speakers, fees)
602 Other Expenses & Obligations (Meals—refer to the FAQ Federal Guidelines for Conference and Meetings)

Integrating EL/Civics Budget

As with all worksheets, standard state object codes have been used for the line items. Ensure that expenses match the object code definitions. An eligible applicant must identify, within each object code, the expenditures by line item. ***The IDOE is providing an estimated amount to be used for the budget.***

Figure 11: Integrating EL/Civics Budget Codes

101 Personnel Services (Salaries and Wages—Administration)
101 Personnel Services (Salaries and Wages—Instructional)
202 In State Travel (Meals, Lodging, and Registration)
205 Out of State Travel (Meals, Lodging and Registration)
301 Office Supplies and Materials (Curriculum and Training Materials)
602 Other Expenses & Obligations

Review Process

Applications will go through a detailed review process guided by the following principles:

- Excellence—Proposals must demonstrate high quality in relation to the topics and criteria set out in the application and detailed in the scoring rubric;
- Transparency—Funding decisions must be based on clearly described rules and procedures, and applicants should receive adequate feedback on the outcome of the evaluation.
- Fairness and impartiality—All proposals submitted in response to the funding opportunity are treated equally and evaluated impartially on their merits, irrespective of their origin or the identity of the program.
- Efficiency and speed—Evaluation, award and grant preparation should be done as quickly as possible without compromising quality or neglecting the rules.
- Ethics and security—Proposals must not contravene fundamental ethical principles or relevant security procedures.

The evaluation process has three phases:

Phase 1 — Review for completion and compliance

Phase 2 — Panel review

Phase 3 — Review summary

Before starting the evaluation process, the review panelists are briefed on:

- the evaluation processes and procedures (including selection and award criteria);
- the content of the application under consideration;
- the weighting of each section; and
- the need to evaluate applications as they are submitted, rather than their potential should certain changes be made.

The “review summary” includes the evaluation summary for each application (based on the combined review of each panelist, including comments and scores, and taking into account the panel’s deliberations and any new scores or comments considered necessary) with explanations and a list of proposals passing all thresholds, along with a final score. Grantees will be able to access the summary through Iowagrants.

Claims

While state funds will be dispersed in the first quarter of the program year as lump sum, federal funds will be on a cost-reimbursement basis only. All reimbursements must be submitted appropriately according to the procedures outlined in Iowagrants. Each claim for reimbursement must be supported with documentation that, at a minimum, reflects the amount requested for each line item. The documentation will be reviewed by the regional IDOE consultant to help ensure the expense claimed is an allowable use of the grant dollars.

Grantees must submit reimbursement claims on a quarterly basis:

- July 1 – September 30; due October 30
- October 1 – December 31; due January 30
- January 1 – March 31; due April 30
- April 1 – June 30; due July 15 (final reimbursement request)

Once the claim form has been completed and submitted electronically, a printed copy must be signed and mailed to the Iowa Department of Education.

The list below describes information the supporting documentation should provide:

- **For purchases:** name of the vendor, date of purchase, and amount of expense must accompany all requests for reimbursement or payment.
- **For salaries and wages:** the name of the person paid, the person's job classification, the amount paid, and the time period covered.
- **For travel reimbursement:** a description of what the expense was for, who it was for, and the amount.
- **For any other payments:** the information provided needs to describe where the money went, what it was for, and when it was spent.

Each claim for reimbursement must be supported by adequate documentation. The list below describes the information the supporting documentation must provide:

- For purchases, name of the vendor, date of purchase, and amount of expense must accompany all requests for reimbursement or payment.
- For salaries and wages, the name of the person paid, the person's job classification, the amount paid, and the time period paid for.
- For travel reimbursement, a description of what the expense was for, who it was for, and the amount.
- For any other payments, the information provided needs to describe where the money went, what it was for, and when it was spent.

- For **Professional Development**— documentation must include evidence that the activity occurred, and be tied back to the plan submitted in the grant application. Evidence could include the agenda of the meetings, sign in sheets, etc. as identified in the local extension plan. This does not include blank templates and should include the what, where, how, and who for implementation. Documentation for uses of food must include rationale as described in the FAQ Federal Funds for Conference and Meetings. For example, was this a working lunch/meal; did this allow for Q/A time with a national presenter; explain why funds were necessary, as opposed to a brown-bag event or allowing time off-site to eat and return.

Figure 12: Create a Claim

Menu | Help | Log Out

Back | Print | Add | Delete | Edit | Save

Grant Tracking

Claim General Information

To create a new Claim enter the starting date and the ending date of the Report Period. This is the period of coverage for this Claim.

Claim Type: Reimbursement

Report Period: From to

1. To create a claim, click Add

2. Indicate quarter reporting, then save

The standard that was set for all claims being reviewed in Iowagrants is that for all personnel service costs, a spreadsheet will suffice. The IDOE does not expect timesheets or time and effort documentation to be submitted. Documentation must reflect who was paid, how much, and for what time period. For non personnel expenses, either an accounting system reports or invoices as supporting documentation to prove that an expense occurred, is required. Documentation allows the ability to verify expenditures through the reimbursement process for auditing purposes. An invoice provides that proof as well as accounting system reports (GL documents, etc) since community colleges are often externally audited each year.

For more details on allowable costs refer to [Section VI—Fiscal Management](#).

In addition, applicants must be aware that:

- AEFLA funds cannot be used to purchase computer hardware and/or software that will be used only partly to serve AEFLA students.
- Childcare costs for children of AEFLA students are only allowable when other sources of funding have been depleted.
- Food (coffee, juice, donuts, etc.) to entice prospective students, or as an incentive to get or keep them coming after they are enrolled, is not an allowable expenditure.

Amendments

Occasionally, line items will need to be adjusted for allowable expenses. All amendments for federal funds are submitted and approved through Iowagrants. Line items within budgets can be adjusted, however funds cannot be moved between budgets. All amendments submitted require a revised budget and rationale. All adult education and literacy funds are meant to supplement one another to provide increased services to adult learners most in need. Supplement means to increase the level of funds that would be made available, while supplant means to take the place of. If funds are being used to cover the services or wages of a program that previously was funded from state or local funds then this would not be seen as an increase. As this issue is very case specific questions should be directed to the IDOE for additional guidance.

Figure 13: Create an Amendment

Contract Amendments

ID	Type	Submitted Date	Last Edited By:
Add			

1. To start an amendment

Menu | Help | Log Out | Back | Print | Add | Delete | Edit | Save

Grant Tracking

General Information

Title: (limited to 250 characters)*

Contract Amendment Type:* Budget Revision

After naming the amendment, select if it's a budget revision or project revision and then click Save.

There are two types of amendments in Iowagrants. The following guidelines will help when submitting amendments.

Budget Amendment

- A. Any move of funds within the same budget, i.e. Technology Budget—301 Data Processing to 101 Personnel Services. Moving of fund to different budgets is not allowed, i.e. Technology budget to EL/Civics. Multiple changes to budgets may be submitted at one time.
- B. All budget changes requiring approval by DE, please submit a rationale on Iowagrants briefly explaining the changes and why they are necessary. With the rationale, include a revised budget.

Project Amendment

- A. At any time a program might need to modify their grant application to address changes based on need. To ensure that the application is reflective of services being offered, an amendment can be submitted prior to or after the status update in January.
- B. Project Amendments should justify the shift in need requiring the amendments as well as the change in scope of services and the change in intensity and duration for the program services.

After reviewing your request, IDOE will negotiate back if revisions or clarifications are needed. If no revisions are needed, IDOE will approve on Iowagrants and create a new budget version if necessary. If a claim is dependent upon a budget amendment please provide enough time for the review and approval process.

Negotiations

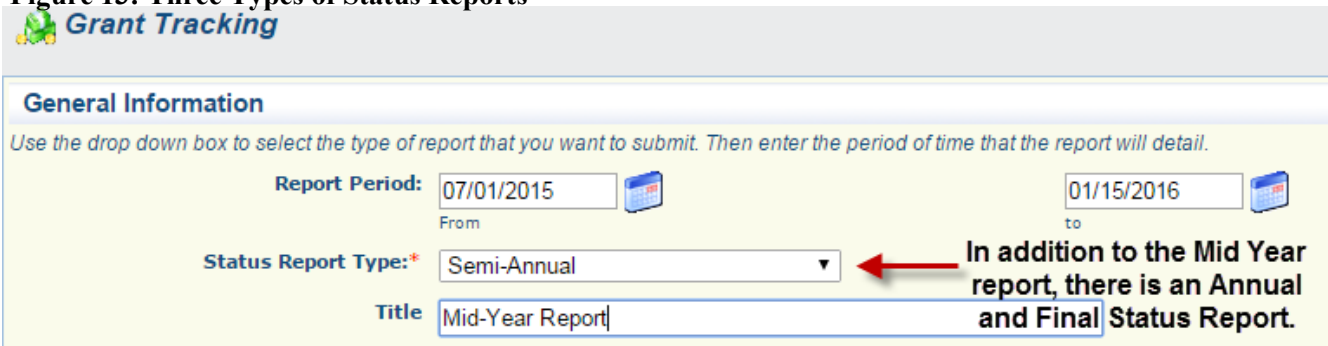
At any time that during the claim process, if the claim creates a negative balance in a budget code, or if the amendment does not balance, the regional consultant will negotiate the claim or amendment back to the grantee for correcting. The negotiation will generate an email from Iowagrants identifying the section requested for correcting, a deadline for resubmitting and an explanation for the negotiation.

It is the responsibility at the point of negotiation to make the correction and resubmit in a timely fashion in order for the claim to be processed. Failure to resubmit will stop the reimbursement process.

Status Reports

The local AEL program is required to show progress and provide fiscal reporting for state and federal reports. These status reports are done on lowagrants as part of the grant process and ties the information to the application. These reports are part of the monitoring of a program's efforts toward continuously improving its performance. The state AEL Program staff monitors status reports in two ways - through updates to the grant application and through fiscal tracking of expenditures.

Figure 13: Three Types of Status Reports



Grant Tracking

General Information

Use the drop down box to select the type of report that you want to submit. Then enter the period of time that the report will detail.

Report Period: 07/01/2015 From 01/15/2016 to

Status Report Type*: Semi-Annual

Title: Mid-Year Report

In addition to the Mid Year report, there is an Annual and Final Status Report.

Status Update—Mid Year Report

A semi-annual status update based on the grant application is expected to be done in January of the program year. This status update is meant to revise or modify the commitments made in the grant application to reflect the actual events of the program year. The grant application and status update together form an agreement and expectation on how the funds are being used.

End of Year Fiscal Report

An annual update on the financial expenses, program generated income and match funds will be due in October. This report will be submitted on lowagrants and replaces the former ABE9 report. The annual update is done on the previous year's grant.

State Funding Report

This report compares adult education and literacy financial allocations, expenditures and performance for the previous fiscal year. As stated in Chapter **23.3(5)(C)** A year-end report shall be submitted to the department no later than October 1. This report completes the fiscal information required for state reporting.

SECTION III: PROGRAM OPERATIONS AND POLICIES

<u>Program Operations</u>	<u>33</u>
Operating an Adult Education and Literacy Program	33
Needs Assessment	33
Personnel and Roles	33
Sites and Class Schedule	36
Books and Materials	37
Copyright Issues	37
Communication and Recruitment	38
Partnerships	38
Maintaining an Adult Education and Literacy Program	39
Record Keeping	39
Transitioning to the Workforce Innovation and Opportunity Act	40
Integrating Education and Training	40
Workforce Preparation Training	42
Career Pathways	43
<u>Policies</u>	<u>45</u>
Student Eligibility Policy	45
Confidentiality and Personally Identifiable Information Policy	47
Assessment Policy	48
Concurrent Enrollment Policy	49
Dual Enrollment with Core Partners	49
Concurrent Enrollment with Education and Training Programs	49
Distance Education Policy	50
State Data Match Policy	50
Professional Development Policy	51

Program Operations

Operating an adult education and literacy program requires the coordination of a number of elements that will be described in this section through the various stages of operation, maintaining and transitioning. The elements will assist in achieving the goals of the AEL program and provide continuous improvement to better serve students.

Operating an Adult Education and Literacy Program

Once an organization receives an Adult Education and Literacy grant, the following are suggestions to assist in organizing and maintaining a program. There is no specific sequence to these items. These items can overlap and programs should revisit each during the application process and throughout the program year to make adjustments in services and operation of the program.

Needs Assessment

A needs assessment is used to determine the characteristics of the local community. Based on these data, the adult education program can determine the scope of the program, including the number and type of services and classes to offer, class locations, schedules, staffing, instructional materials, and training needs.

Programs should review the needs assessment, as described in the application, and determine whether a revised needs assessment of the target population is required. Methods for assessing need might include data from government reports, surveys, and public comment. Data collected from the target population should include, but not be limited to, the following:

- number of years of prior schooling
- educational needs (ESL, Adult Basic Education, without a High School diploma, work skills development, citizenship)
- employment status
- social economic status
- immigration status
- availability for instruction (days of the week, hours of the day)

Personnel and Roles

Each program should have clear expectations of its staff consistent with its philosophy, mission, goals, and standards for program quality. Guided by these expectations, the program should develop a specific staffing plan. Minimum qualifications for both instructional and non-instructional staff should be clearly outlined. The local program is required to keep personnel records, including time and effort documentation, for all eligible AEL staff in accordance with grant requirements. Records must include verification of qualifications and a professional development plan for all staff. Programs are required to keep written job descriptions of all paid and volunteer staff, both instructional and non-instructional. In general these positions should:

Instructional staff will:

1. Work with the professional development specialist or Lead Instructor to plan for professional development based on identified needs with the goal of improving quality instruction.
2. Participate in professional development activities in support of their individual professional development.

3. Participate in program improvement efforts. This may include:
 - a. Participation in the program improvement team.
 - b. Identifying program improvement goals.
 - c. Reviewing data related to program improvement goals.
 - d. Providing feedback on impact of program improvement efforts.
 - e. Implementing program changes.

Non-instructional staff will:

1. Work with the professional development specialist / Lead Instructor to plan for professional development based on identified needs with the goal of improving services to students.
2. Participate in position-appropriate professional development activities in support of their individual professional development (e.g., case managers take case management courses).
3. Participate in program improvement efforts. This may include:
 - a. Participation in the program improvement team.
 - b. Identifying program improvement goals.
 - c. Reviewing data related to program improvement goals.
 - d. Providing feedback on impact of program improvement efforts.
 - e. Implementing program changes.

Specific roles are discussed in the next few pages. Not all roles will be represented in each local program, however the functions should be discussed and a staffing plan must be developed to address the need.

Program Coordinators

The program director is responsible for the overall coordination, administration, and instructional leadership of the adult and/or family literacy education program. The duties include, but are not limited to, ensuring compliance with state and federal policies, providing adequate staffing, providing new staff with agency-specific orientation, providing fiscal oversight, providing leadership in program improvement/professional development, coordinating adult education services where required, and maintaining contact with institutions of postsecondary education and training, local businesses and community service organizations.

Staff Responsibilities for continuous program improvement and professional development Program Coordinators as instructional leaders will:

1. Oversee the program improvement team.
2. Participate with the professional development specialist / Lead Instructor to create and maintain a professional development plan.
3. Work with professional development specialist / Lead Instructor to guide development of staff professional development.
4. Work closely with the state AEL consultants to support these efforts.
5. Keep current with best practices.
6. Be knowledgeable about adult learning theory.
7. Ensure that program improvement supports quality instruction.
8. Ensure coverage for classes while instructors attend training.
9. Ensure the organizational structure and support needed for staff to participate in and benefit from long-term, job-embedded professional development.
10. Provide teachers with access to their data to help inform instruction.
11. Approve staff to attend position-appropriate trainings and ensure that they complete those trainings.

Intake/Assessment Specialist

The intake/assessment specialist will have training in assessment administration, be familiar with all approved standardized assessment instruments, and attend periodic refresher assessment training. Duties include, but are not limited to, conducting program orientation, conducting formal and informal assessments, collecting intake information, initiating participant goal setting, evaluating participant readiness, and coordinating with case manager and instructor.

Case Manager/Navigators

Best practices recommend that the case manager be a dedicated position to ensure supportive services and to assist with retention effort. In cases where this is not possible, the staff assigned to navigation duties must be given sufficient dedicated time to fulfill their duties. The position will have training in educational counseling and attend periodic relevant professional development courses. Services should be made available at flexible times to meet participants' needs, including during class hours. Navigators should be available, as needed, to any student enrolled in an adult education program. The duties include, but are not limited to, participating in program orientation, reviewing goals and analyzing assessments, coordinating with intake specialist and instructor, making referrals to other community resources/agencies, assisting with addressing barriers to attendance, such as childcare and transportation; providing access to resources to assist with transition to workforce or postsecondary education/training; and documenting counseling activities and hours.

Classroom Instructor

Classroom instructors should spend at least 80 percent of their paid time in instruction. The program must ensure that adequate time be allotted for lesson planning, professional development, leadership activities, and program improvement efforts. Other duties include, but are not limited to, participating in program orientation, when possible; periodically reviewing goals; adjusting student placement, if needed; and coordinating with intake specialist and case manager.

Data Quality Specialist

Data quality specialists will have data entry skills, knowledge of the assessments used by the program, training in use of the TE® system and a complete understanding of services offered by the agency to ensure accurate data entry. The duties include, but are not limited to, overseeing data entry for the agency; ensuring timely, complete, and accurate entry of data; performing regular review of data for errors; and ensuring immediate corrections, when needed.

Professional Development Specialist/Lead Instructor

The local professional development specialist or Lead Instructor should be a staff member with current or prior adult education teaching experience. This role cannot be filled by the program coordinators, however. This person works with other staff to develop and implement individual professional development plans in coordination with the program's mission, goals, continuous improvement plan and professional development needs. Duties include, but are not limited to, coordinating professional development activities within the program and with the state's targeted professional development, supporting staff in implementing new skills and knowledge, and working closely with the professional development system and the program coordinator around instructional quality.

Professional Development Specialists/Lead Instructor will:

1. Participate with program coordinators to create and maintain the program continuous improvement/professional development plan.
2. Be an active member in the program improvement team.
3. Work with program coordinator to guide development of staff professional development in support of the program.
4. Support staff to address individual professional development plans.
5. Coordinate and guide the job-embedded professional development process for staff.
6. Assist in the implementation of a variety of formats of professional development (e.g. study circles, coaching, online courses, lesson studies) that support the core features of high-quality job-embedded professional development.
7. Serve as the main contact between the program improvement team and the state professional development team.
8. Assist the staff in the implementation of the state's high quality professional development system as described in [Section VII—Professional Development Systems](#).

Distance Education Liaison

Programs that refer students to the Distance Education should, at a minimum, have a Distance Education Liaison to serve as the point of contact between the program and the approved distance education curriculum. Additional duties may include, but are not limited to, maintaining contact with the referred student in case the student requires additional instructional or support services and coordinating student post-testing according to the Assessment Policy Guidelines.

Tutor Coordinator

Tutor coordinators provide training and support to volunteer adult education instructors and their learners. The duties could include, but are not limited to, implementing effective processes for tutor screening, making referrals to the case manager, participating in orientation, conducting training sessions, assigning and supporting tutor-student pairs/groups, providing ongoing supervision of tutoring staff and working with the professional development specialist to coordinate tutor professional development.

Volunteer Classroom Aide

A volunteer classroom aide provides supplemental instruction to a learner or learners who are enrolled in a class or group. The volunteer classroom aide does not have primary responsibility for instructional planning. In cases where a volunteer classroom aide prepares lessons, he or she must share the lesson(s) with the primary instructor to ensure the supplemental instruction aligns with the classroom instruction. Unlike the volunteer instructor position, the volunteer classroom aide position does not require a four-year degree and has no minimum hours per week.

Sites and Class Schedule

Locations for classes should reflect the results of the needs assessment and the [participatory planning committee](#) suggestions. Suitable sites should provide easy access to students and be in compliance with the requirements of the Americans with Disabilities Act (ADA).

- Programs might consider entering into a service contract agreement with participating sites. The program and each site should meet before the beginning of the classes. If the adult education program is using classroom space in a school, the teachers whose classrooms are being utilized should be included in such meetings so all parties will agree on how to share the space. Programs should expect to invest time on an ongoing basis with each site.

- It is recommended that program coordinators provide representatives of their sites (principals, librarians) and partners with annual or semi-annual updates of the size and scope of the classes at that site, including student retention.
- The class schedule should reflect the results of the needs assessment and participatory planning committee input. The more intensive the classes (more contact hours per week), the higher the probability that students will achieve their goals. Program coordinators should develop an annual calendar of classes and sites with all partners in consideration of each site's hours of operation and annual calendars. Some schools close during holidays and summer months, but programs should not close longer than four consecutive weeks. The class schedule should take these fluctuations into account.

How a program schedules classes is an important variable impacting student successes. Scheduling features affecting the success of students include:

- Duration (how many weeks/months per program year the class is open)
- Intensity (how many hours/weeks of instruction are available)
- Schedule (whether students begin and end the class at the same time or enroll and exit constantly)

In order for students to make progress toward their goals, programs of sufficient duration and intensity must be established. To demonstrate academic progress, 40 to 100 hours of instruction is usually recommended. The program's schedule also affects organization and instruction delivery. Local programs are encouraged to provide appropriate scheduling methods based on the needs of students.

Books and Materials

The choices of instructional resources are a matter of identifying materials that best meet student needs and should be based on the student's achievements on the assessment tests. The variety of instructional resources that may be used in the educational process is diverse and can come in many different formats. Regardless of the format, instructional resources should be aligned with the adopted content standards, College and Career Readiness Standards, Iowa's Core—21st Century Skills and any relevant industry or occupation related instruction. Making instructional materials available to students can raise legal issues of copyright and the fair use of intellectual property.

Copyright Issues

Current copyright law protects nearly all text, images, audio-visual recordings, and other materials, even if the original works do not include any statement about copyright. Copying and posting copyrighted works online, even for instructional purposes, may violate the legal rights of copyright owners. As a first step in considering the use of materials, consider these legal alternatives:

- Securing permission from the copyright owner
- Linking to materials on other sites, rather than copying and posting
- Using material in the public domain—Two guides to determine if a work has entered the public domain are [Cornell's Copyright Term](#) and the [Digital Copyright Slider](#) of the American Library Association Office for Information Technology Policy.
- Lawfully using protected materials after a "fair use" evaluation

, including finding public domain sources and analyzing for fair use, contact your The following information addresses issues surrounding the copying, digitizing, posting, and other uses of copyrighted works, such as articles, book chapters, sound or video recordings, and visual images. This information will introduce users of online course management systems to the legal options for using protected materials and to some alternative sources for instructional media.

Communications and Recruitment

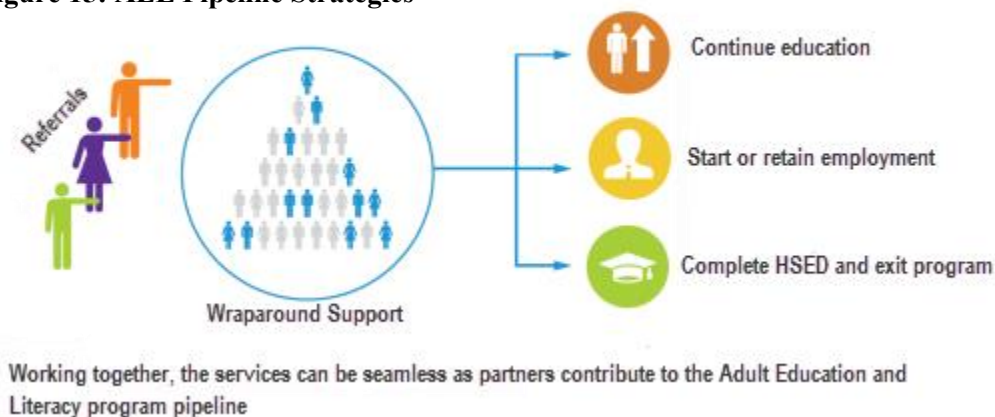
Programs should design communication and recruitment strategies to match the target audience so that services are attractive and accessible to those most in need. Efforts should be made to communicate the value and purpose of the program to the community and learners. Strategies that maximize personal contact with prospective students and include local program initiatives generally have most impact. Refer to [Section VIII-Public Awareness and Communications](#) for details on the state campaign and style guide.

Managing an effective adult education and literacy program is much easier when you share experiences with others. Programs should become familiar with other AEL programs and staff in their region and around the state.

Partnerships

Effective programs will realize that to be successful requires the establishment of strong partners. Engaging in a pipeline strategy, that includes partners prior, during and after services allows for maximum streamlining of activities.

Figure 15: AEL Pipeline Strategies



Partnerships require consistent effort in order to be sustained. Programs should partner with the stakeholders and communities they serve to develop and maintain relationships that prove effective for all involved parties: students, adult education programs, the business community, social services, One-Stops, postsecondary education institutions, the participatory planning committee, and others.

In partnerships, it is important for partners to understand the other organizations' system, legislative drivers, policies and parameters. This is important so that there is a better chance of sharing resources and reducing duplication of services to shared customers. In developing partnerships with other agencies, local programs are cautioned not to create new bureaucracies, but rather to take advantage of the strengths of each agency.

The key to building trust in partnerships is communication which is enhanced through setting up systems – personal, paper, and electronic – for information sharing, clarifying each entity’s responsibilities, clearly expressing expectations and listening. Communication must be open and frequent, using formal and informal channels. Privacy issues for customers may be discussed among all partners for their similar and different requirements. Professional development training and materials are provided for cross-training purposes among the partners.

Programs should collaborate with their partners for the effective use of resources including funding, technology, staff, and professional development. Financial resources include those that member organizations are able and willing to commit and those that the group obtains from outside sources. Such outside resources may be comprised of in-kind contributions on the part of the partners including: paid staff time; facilities, including custodial services; utilities; supplies; materials; or volunteer time. Human resources that can be committed to projects can include skilled coordinators, committed leaders and a bountiful mix of knowledge, skills, and abilities among the partnership’s members.

The benefits of partnership can include: the delivery of services where they have never been delivered and often result in fewer resources being needed; resolved proprietary issues between organizations and agencies; a gain in ownership among all parties; establishment of a systematic and consistent approach to problem solving; provision of a cost savings; the potential for additional revenue generation; and, ultimately, increased services and satisfaction of common customers. Shared resources can increase maximum capacity-building capabilities and provide added resources to the programs and services of all participating partners.

Maintaining an Adult Education and Literacy Program

In the delivery of services to meet the program’s goals, the program must provide instruction that is evidenced by high quality while integrating the following elements:

- includes the Student Experience Model, or an adaptation,
- is based on standards framework,
- is based on research-based principles of adult learning, and
- uses student-centered, holistic approaches to teaching.

Additionally, programs must strive to provide professional development opportunities for their staff that meet both the programmatic needs and individual needs for professional growth.

Record Keeping

In the maintenance of an adult education and literacy program, a critical element is record keeping. The use of data to drive decisions is paramount in an effective program. Therefore, programs must maintain accurate program, staff, and student data records including but not limited to:

- enrollment information
- placement and progress testing
- contact hours/attendance
- retention rates
- HSED completions
- exit follow-up information
- certification of teachers
- fiscal expenditures

This data drives the performance, which in turn guides the funding. In addition, data determines the professional development provided at the local and state level. Further information on specifics related to student data is contained in the current year [Assessment Policy](#) and [Section V—System Accountability](#).

Transitioning to the Workforce Innovation and Opportunity Act

Through the evaluation of proposed rules, there are several elements of the WIOA that will require adult education and literacy programs to transition to in program services. Identified areas include but are not limited to data collection, One-Stop Center core partner alignment, and the application of Integrated Education and Training.

To assist in the implementation, several vision statements have been released—TEGL No. 19-14: Vision for the Workforce System and Initial Implementation of WIOA and OCTAE 15-3: Vision for the One-Stop Delivery System under the Workforce Innovation and Opportunity Act (WIOA). These documents are intended to help guide leadership in making the transition to WIOA. In addition, the WIOA [Quick Start Action Planner \(QSAP\)](#) was developed and released as an interactive, self-paced assessment tool designed to help leaders at all levels of the public workforce system plan for this transformation and prepare for implementation of WIOA. The QSAP can help identify areas of strength and focused areas for improvement during this transition to connect programs to targeted resources that can help plan effectively.

Integrated Education and Training

A key shift in the definitions for adult education and literacy has been the term, Integrated Education and Training in WIOA Section 203 (11) as: *A service approach that provides **adult education and literacy activities** concurrently and contextually with **workforce preparation activities** and **workforce training** for a specific occupation or occupational cluster for the **purpose of educational and career advancement**.* (Highlights added.)

The required components for Integrated Education and Training has been identified and as:

1. Adult Education and literacy activities as described in **463.30**
2. Workforce preparation activities as described in **463.34**, and
3. Workforce training for a specific occupation or occupational cluster, which can be any of the training services defined in section **134(c)(3)(D)** of WIOA.

The specific allowable services, as defined in statute and proposed regulation for each of these components are included:

463.30—Adult Education and literacy activities:

- a. Adult Education
- b. Literacy
- c. Workplace adult education and literacy activities
- d. Family literacy activities
- e. English language acquisition (ELA) activities (defined in 463.31)
 - i. Designed to help eligible individuals who are English language learners to achieve competence in reading, writing, speaking, and comprehension of the English Language
 - ii. That leads to attainment of a secondary school diploma or equivalent; transition to post-secondary education/training; or employment

- f. Integrated English literacy and civics education (defined in 463.33 and 463.70)
 - i. 463.33(a): Services that provide EL learners who are adults, including professionals with degrees or credentials in their native countries, that enable such adults to achieve competency in the English language and acquire the basic and more advanced skills needed to function effectively in society as parents, workers, and citizen.
 - ii. 463.33(b): Must include instruction in literacy and ELA, and instruction on the rights and responsibilities of citizenship and civic participation and may include workforce training.
 - iii. 463.70(c): Such educational services must be delivered in combination with integrated education and training services as described in 463.36
- g. Workforce preparation activities or
- h. Integrated Education and training

463.34—Workforce preparation activities:

- i. Activities programs, or services designed to help an individual acquire a combination of basic academic skills, critical thinking skills, digital literacy skills, and
- j. self-management skills including; utilizing resources; using information; working with others; understanding systems; skills necessary to transition into and complete postsecondary education, training, or employment; and other employability skills that increase an individual's preparation for the workforce.

134(c)(3)(D) of WIOA—Workforce training for a specific occupation or occupational cluster

- k. (i) Occupational skills training, including training for nontraditional employment
- l. (ii) On the job training
- m. (iii) Incumbent worker training in accordance with subsection 134(d)(4)
- n. (iv) programs that combine workplace training with related instruction, which may include cooperative education programs
- o. (v) Training programs operated by the private sector
- p. (vi) skill upgrading and retraining
- q. (vii) entrepreneurial training
- r. (viii) transitional jobs in accordance with subsection 134(d)(5)
- s. (ix) job readiness training provided in combination with services described in any of clauses (i) through (viii)
- t. (x) adult education and literacy activities, including activities of English Language acquisition and integrated education and training programs, provided concurrently or in combination with services described in any of clauses (i) through (vii), and
- u. (xi) customized training conducted with a commitment by an employer or group of employers to employ an individual upon successful completion of the training.

To integrate these components through the program and instruction and offer concurrently and contextually such that:

- a. Within the overall scope of a particular integrated education and training program, the adult education and literacy activities, workforce prep activities, and workforce training activities are:
 - 1. Instructionally balanced proportionally across the three components, particularly with respect to improving reading, writing, mathematics, and English proficiency of eligible individuals
 - 2. Occur simultaneously, and
 - 3. Use occupationally relevant instructional materials
- b. The integrated education and training program has a single set of learning objectives that identifies specific adult education content, workforce prep activities, and workforce training competencies, and the program activities are organized to function cooperatively.

The proposed rules clarified what it means for an Integrated Education and Training program to meet the requirement that the program be “for the purpose of educational and career advancement.”

A provider meets the requirements for educational and career advancement if:

- a. The adult education component of the program is aligned with the State’s content standards for adult education as described in the State’s Unified or Combined State Plan; and
- b. The integrated education and training program is part of a career pathway.

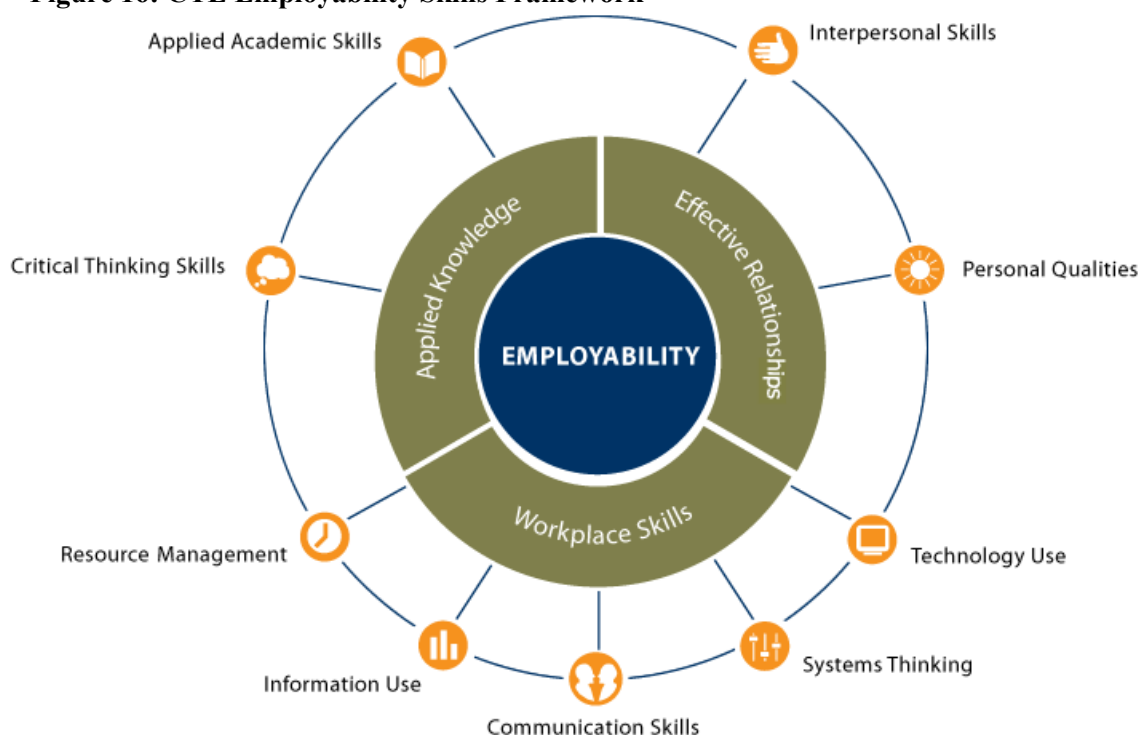
Full implementation of the components to meet the identified requirements will require a shift in adult education and literacy’s typical service approach. This shift will take time and require significant planning. Efforts to address each component through professional development activities are under-way with **Integration and Alignment, Career Pathways** and **Standards in Action 2.0**.

Workforce Preparation Activities

Activities are being defined as programs or services designed to acquire a combination of what has been defined as “employability skills”. Employability skills are a critical component of college and career readiness, and the education and workforce communities are increasing their focus on how these skills can be embedded into instructional practices at all levels and in all content areas. Often these skills have been taught in stand alone workshops or add-ins just prior to exiting the program. WIOA is intending to shift this practice.

The Employability Skills Framework, an initiative of the U.S. Department of Education, defines employability skills as the “general skills that are necessary for success in the labor market at all employment levels and in all sectors.” These skills fall into three categories: applied knowledge, effective relationships, and workplace skills.

Figure 16: CTE Employability Skills Framework



Employability skill standards are captured in the Iowa Core—21st Century Skills. In combination with the College and Career Readiness Standards, teachers have a full range of standards to incorporate into their lesson planning. Since employability skills are not intended to be taught alone, these standards can be emphasized through integration with academic and technical skill instruction. Other guidelines to keep in mind when teaching employability skills include:

- Documenting employability skills that are embedded in classroom practice helps students to realize the connection between education and employment.
- Opportunities exist for teachers to integrate employability skills (standards) in everyday lessons, at every level and in every content area.
- Development of employability skills does not occur in one or two classes, but grows during a student's educational career.
- Classroom activities can emphasize various employability skills, but not all skills can be addressed in every class.

The [Lesson Planning Checklist](#) from the Employability Skills Framework is a tool to support the instruction and assessment of employability skills and 21st Century standards. Teachers can use it to document how employability skills are being reinforced in the classroom as a planning and reflection tool and as a vehicle for communicating with students and other stakeholders. Local programs can use the tool to guide curriculum development, classroom observations, and professional development activities and as confirmation of classroom practice.

Career Pathways

By highlighting career pathways in the Purpose of the WIOA, it is clear that the development and integration of career pathway activities within adult education and literacy instruction is an important, and required concept. To provide more than just workforce training, more than just one integrated course that leads to a credential, programs must explore their ability to become engaged in the delivery of career pathways. Career pathways are a series of career ladders and lattices that allow students to advance their skills and careers over time. Pathways must consider the specific credentials and skill gains students need to advance into both the workplace and the next level of education and training. The use of the phrase “through career pathways” implies a number of programming and instructional techniques including contextualized (job skills) content, bridge programming, integrated adult education and skill training modules, and other important career pathway structural elements.

Career pathways help people earn postsecondary credentials, find middle-skill jobs, and advance their careers by aligning education, job training, and basic support services so that individuals can build their skills even as they continue to work and support their families. People participating in career pathways should be able to move seamlessly across programs to continuously improve their employment and earnings potential. While career pathways are meant to serve people at different skill levels, they are particularly important for providing low-skilled individuals with access to a set of skill-building services that can help them succeed in middle-skill jobs. Career pathways also help employers by providing them with skilled workers required to sustain and grow their businesses. Career pathways are required as a key skills strategy for states under the new Workforce Innovation and Opportunity Act (WIOA).

The state has been working with an advisory group to define a statewide definition for career pathways, aligned to WIOA and other federal and state programs. Below is a draft copy of that definition.

A **career pathway** organizes rigorous and high-quality education, training, and other services related to a targeted industry cluster to meet the education and skill needs of the region and state, and the particular needs of an individual, all in the context of workforce preparation. This is achieved through collaboration between industry partners and support partners within a sector partnership.

A career pathway must include advising and support services to identify education and career needs and goals to meet the needs of individuals with or without disabilities and relevant reasonable accommodations. To meet the needs of all individuals, a career pathway must be equipped to effectively:

- enable an individual to attain a secondary school diploma or its recognized equivalent and at least 1 recognized postsecondary credential;
- prepare an individual to be successful in a full range of secondary and postsecondary education options, including apprenticeships;
- help an individual enter and advance within a specific occupation or occupational cluster;

Attention shall be given to strategies and approaches which accelerate the educational postsecondary credential attainment and career advancement of the individual to the extent practicable. Such strategies may include, but is not limited to, the concurrent delivery of adult education and eligible postsecondary education programs, and “bridge” curricula which connects adult and basic education to workforce preparation programs and integrates education and training to allow students to advance in their education and employment.

In addition to the state definition Chapter 23-Adult Education and Literacy Programs section 4 has guidance on the role programs have in career pathways.

281—23.4(260C) Career pathways. Adult education and literacy programs may use state adult education and literacy education funding for activities related to the development and implementation of the basic skills component of a career pathways system.

23.4(1) Collaboration. Adult education and literacy programs shall coordinate with other available education, training, and social service resources in the community for the development of career pathways, such as by establishing strong links with elementary schools and secondary schools, postsecondary educational institutions, institutions of higher education, local workforce investment boards, one-stop centers, job training programs, social service agencies, business and industry, labor organizations, community-based organizations, nonprofit organizations, and intermediaries.

23.4(2) Use of state funds. Only activities directly linked to adult education and literacy programs and instruction shall be funded with moneys received from state adult education and literacy funds. Consideration shall be given to providing adult education and literacy activities concurrently with workforce preparation activities and workforce training for the purpose of educational and career advancement.

Figure 17: CLASP Career Pathway System

The career pathway approach is important for underprepared students, because it incorporates and integrates best-practice service models, such as: participant-focused education and training; consistent and non-duplicative assessments of participants' education, skills, and assets/needs; support services and career navigation assistance; and employment services and work experiences that have been shown to help underprepared youth and adults obtain postsecondary credentials and good jobs. The career pathway approach also incorporates sector strategy principles by deeply engaging employers to increase the relevancy and labor market value of participants' skills and credentials, which in turn improves participants' employment prospects.

Policies

Policies change as needed to comply with state and federal guidelines. Below is a description of the policies that are currently in place.

Student Eligibility Policy

Federal

As defined by the Workforce Innovation and Opportunity Act (WIOA), Title II, Adult Education and Family Literacy Act, "adult education" includes services or instruction below the postsecondary level for students who:

- A. have attained sixteen years of age;
- B. are not enrolled or required to be enrolled in secondary school under state law;
- and
- C. who –
 - i. is basic skills deficient;
 - ii. does not have a secondary school diploma or its recognized equivalent, and has not achieved an equivalent level of education; or
 - iii. are unable to speak, read, or write the English language.

Services and instruction may be provided to individuals sixteen, seventeen, and eighteen years who meet the requirements above. Additionally, in order to satisfy requirement B., the student must:

- A. provide documentation of official withdrawal from school on official school letterhead signed by superintendent or designee, or
- B. provide written evidence of a high school diploma.

Documentation of official withdrawal or a copy of the diploma must be verified prior to enrollment and must be kept on file with other required student records (i.e., standardized assessment and other test records).

Federal adult education legislation does not specify the need to prove legal status of foreigners as a condition for enrollment in adult education classes. Thus, it is not necessary for foreigners to present passports, visas, work permits, or social security cards to prove legal status in order to enroll. However, **foreign students (with F-1 or F-2 visas) enrolled in universities or private English language institutes may not simultaneously enroll in publicly funded adult education programs.** English as a Second Language (ESL) students who have completed postsecondary education in another country, but lack basic English language skills may enroll in AEL programs (as long as they do not have an F-1 or F-2 visa).

The WIOA does not require that individuals demonstrate that they are legal residents of the United States as a condition of enrollment in programs. Thus, it is not necessary or appropriate for individuals to present passports, visas, work permits or social security cards to prove legal status in order to enroll. Individuals from other countries need only to satisfy the same requirements as others with the exception listed in this section.

State

In Iowa, the eligibility of an adult education and literacy participant has been defined by administrative code, Chapter 23:

281—23.5(260C) Student eligibility. A person seeking to enroll in an adult education and literacy program shall be at least 16 years of age and not enrolled or required to be enrolled in a secondary school under Iowa Code section 299.1A and shall meet one of the following eligibility requirements:

1. Lacks sufficient mastery of basic educational skills to enable the person to function effectively in society, demonstrated by a score of Adult Secondary Education (Low) or lower in at least one modality;
2. Does not have a secondary school diploma or a recognized equivalent; or
3. Is unable to speak, read, or write the English language.

The Iowa Adult Education and Literacy program requires that all persons shall have equal access to its programs, facilities and services without regard to race, color, creed, religion, national origin, sex, age, marital status, disability or sexual orientation. It does not discriminate in admission to its programs, services or activities; in access to them; in treatment of individuals with disabilities; or in any aspect of operations. It does not discriminate in:

- Admission and access to its programs, services, locations or activities,
- Treatment of individuals with disabilities, or
- Any aspect of their operations.

A qualified individual with a disability is defined by the Americans with Disabilities Act (ADA) as: *“... an individual with a disability who, with or without reasonable modifications to rules, policies, or practices, the removal of architectural, communication, or transportation barriers, or the provision of auxiliary aids and services, meets the essential eligibility requirements for the receipt of services or the participation in programs or activities provided by a public entity.”*

Students who present documentation of their disability have a right under the Americans with Disabilities Act (ADA) to request reasonable accommodations. Depending on the type of disability, the **accommodations for classroom instruction and testing** may include (but are not limited to):

- Extended time for learning and testing,
- Private settings free of interruptions and distractions for learning and testing,
- Frequent breaks or change of activity,
- Calculators,
- Spell checkers,
- Word processors,
- Audiotapes of presentations, texts, and tests,
- Enlarged print,
- Braille texts,
- Readers,
- Note-takers or scribes for learning and testing,
- Sign language interpreters,
- Assistive listening devices, and/or
- Furniture or room modifications to accommodate wheelchairs, etc.

Information on CASAS accommodation may be obtained through CASAS: [Guidelines for Providing Accommodations Using CASAS Assessment for Learners with Disabilities](#). Many adult learners state that getting a High School Equivalency diploma (HSED) is their primary reason for entering adult education programs. For information on applying for HSED accommodations refer to hiset.ets.org. Information is also maintained on the Iowa Department of Education AEL website.

At a minimum students should be screened for potential learning disabilities. The following questions are examples:

- Do you think you have trouble learning?
- What are your hardest subjects?

If students answer positively, the appropriate investigation should occur to determine how best to serve the student in the program. Refer to [Section IV—Instructional Services](#) for more information on initial screening,

In order to provide the best possible services, AEL programs should identify individual differences through appropriate screenings and assessment, then find and implement the appropriate adaptations, accommodations, and instructional strategies to help students progress. The policy for serving adults with disabilities has been included in the eligibility policy and should be implemented accordingly by programs.

Confidentiality and Personally Identifiable Information Policy

Pursuant to the Federal Education Rights and Privacy Act (FERPA) and other applicable state and federal laws, confidentiality of adult education and literacy student records is a priority.

E. *FERPA requires that, with certain exceptions, education agencies obtain written consent prior to the disclosure of personally identifiable information (PII) from a student record. However, FERPA allows education agencies to disclose appropriately designated “directory information” without written consent, unless the student has advised the agency to the contrary in accordance with agency procedures.*

- A. All local AEL programs are responsible for ensuring that TE® data entry is completed only by authorized staff. Authorized staff must maintain their own login information (e.g. username, password) and keep the information secure. It is strongly encouraged that coordinators have on file a signed [Personnel Confidentiality Agreement](#) for every staff or faculty member that has access to confidential information.
- B. Appropriate measures must be taken to ensure confidential student records are protected from loss, theft or other compromise. Student records may be transported to approved TE® data entry sites, ensuring their confidentiality and safety at all times. Student records may not be taken to a public location (e.g. staff member's home, other non-AEL work location). If there are any doubts to the security and confidentiality of information refer to the [FERPA Facts](#).
- C. Secure (encrypted) transmission methods must be used when transmitting student data electronically. Data containing personally identifiable information (PII) cannot be stored in cloud storage such as Google Docs, Dropbox, iCloud, or OneDrive. Data specialist responsible for PII, or other data, should designate where sensitive information should be stored. Generally sensitive information is stored in approved folders on the program's secured server.
- D. Strictly confidential information regarding a student cannot be discussed, nor can any record be shared without a written release of information. If a student discloses any of the following types of information (verbally or in writing), legally that information is to be considered strictly confidential and therefore "private."
 - Disclosure of a diagnosed learning disability;
 - Disclosure of previous status as a "special education" student;
 - Disclosure of any other type of diagnosed physical or mental disability;
 - Disclosure of a diagnosed medical condition;
 - Disclosure of use of any prescription drugs;
 - Disclosure of history of drug/alcohol abuse and/or treatment;
 - Disclosure of status as HIV positive or of having the AIDS virus;
 - Official transcripts including HSED scores.
- E. Filing cabinets or drawers containing strictly confidential information must be labeled as "**Confidential.**" These files must not be accessible to students, staff, or faculty, and a log should be maintained to record when confidential files are accessed.
- F. Strictly confidential information files should be maintained at the local program level for a period of not less than three years and must be shredded when discarded. Refer to the [Assessment Policy](#) for additional information.

Assessment Policy

Federal guidelines have stated that assessment procedures to fulfill the accountability requirements of the Workforce Innovation and Opportunity Act (WIOA) must be valid, reliable and appropriate. As noted in Chapter 23—Adult Education and Literacy Programs section 8 Performance and Accountability, a key performance indicator is identified as compliance with the assessment policy:

- a. **Compliance.** Adult education and literacy programs shall adhere to the policies and procedures outlined in the state assessment policy. Data shall be submitted by the tenth day of each month or, should that day fall outside of standard business hours, the first Monday following the tenth day of the month. All adult education and literacy programs shall comply with data quality reviews and complete quality data checks as required to ensure federal compliance with reporting.

Refer to the [Assessment Policy](#) for additional information.

Concurrent Enrollment Policy

This policy is still being developed and will consist of two distinct elements—concurrent enrollment with core partners; and concurrent enrollment educational and training programs.

Dual Enrollment with Core Partners

WIOA Requires eligible providers to state in their application for Title II funds how they will align with the local workforce plan, including how they will promote co-enrollment.

3. a description of how the eligible provider will provide services in alignment with the local plan under section 108, including how such provider will *promote concurrent enrollment in programs and activities under title I, as appropriate.* **(Section 232. Local Application)**

This work will be established in the service agreement modeled at the state and developed at the local level as appropriate to the needs and program issues during this transition period.

Concurrent Enrollment with Education and Training Programs

From the Office of Career and Technical Education (previously OVAE) a program memorandum was released in June, 2010 that supports the continued efforts as outlined in WIOA concerning concurrent enrollment:

There is no prohibition in AEFLA against enrolling an individual who is participating in an adult education program funded under AEFLA in occupational training for which postsecondary credit may be earned. No statutory prohibition in AEFLA prevents a participant in a program funded by AEFLA from co-enrolling in such training at any level. AEFLA does, however, prohibit enrolling students in AEFLA-supported adult education if those students are still enrolled or required to be enrolled in secondary school (see section 9202(1)(B) of AEFLA).

Preliminary definitions and guidance for concurrent enrollment for adult education and literacy students would include the following:

Definitions

Concurrent enrollment occurs when an adult student is enrolled in two educational institutions at the same time receiving educational programs, services and/or benefits from each. These services may include courses, support services, facilities and equipment, or other services necessary to succeed within the continuum of education in Iowa.

Guidance

It is the expectation that adult concurrent enrollment opportunities are available and encouraged. When concurrently enrolled, the student has all the rights, privileges and responsibilities inherent in his or her relationship to both institutions. Concurrent enrollment may be at the college level or the academic foundations level. An AEL student is considered concurrently enrolled when the student is enrolled in AEL course work and also enrolled in at least one of the following: general education courses, or technical programs/courses. *A student's AEL course work must not include the academic subjects for which the student is enrolled in college courses or technical programs/courses and paying tuition.* No college credit would be awarded for AEL course work.

Distance Education Policy

This policy defines distance education for adult basic education programs in Iowa and provides guidelines by which programs can report adult learners' distance education hours to the National Reporting System (NRS) using the state approved data management system (TE®). The goal of this policy is to describe the types of activities approved for distance education and outline the requirements and procedures for reporting distance education activities.

- Policy One— A student is classified as a distance learner if the majority (51% or higher) of the student's hours earned in a program year are derived by his or her participation in distance learning activities. However, a student's hours in both distance and classroom activities must be reported into the data management system (TE®).
- Policy Two— Only Iowa Department of Education, Division of Community College approved distance education curricula may be used for reporting distance education activities.
- Policy Three— All potential adult basic education distance education students must be assessed in accordance with the Iowa Assessment Policy.
- All pre- and post assessments must be administered in a proctored, face-to-face setting.
 - All students must be pretested prior to 12 hours of instruction.
 - Distance education students are subject to the same post-test instructional hour intervals as traditional learners.
- Policy Four— Programs must use TE® to report distance learner activities by setting up distinct classes in the system to track activities. Endorse the field "Distance Learning" under the "Special Programs" section on the Entry record associated with the learner's distance education class. Do not indicate "Distance Learning" on the Exit record. All distance education hours, both contact hours and proxy hours, are to be reported and recorded in Table 4c.

Refer to the [Assessment Policy](#) for additional information.

State Data Match Policy

The state of Iowa uses data matching as the methodology to follow up on core measures. The Social Security Number (SSN) of the student will be used to match data with Iowa Workforce Development (IWD) unemployment insurance (UI) records and other records used by IWD.

- Policy— All AEL programs are to ask all students for their social security number during the admission process. Student social security numbers will be entered into TE® Enterprise and will be used for the state data match follow-up report of student employment, entry into postsecondary education and training, and HSED completion.

The SSN of the individual student is used by the State Adult Education and Literacy (AEL) program only to search records to match and is not released to any other third party individual or agency. Therefore, accurate SSNs are critical to the success of the data matching process. Local programs are responsible for checking enrollment information for missing or invalid SSNs and are prohibited from "making up" a SSN for a student. If a student fails to provide his/her SSN, local programs should follow up with the student to obtain the SSN.

While SSNs are not a requirement of participation in WIOA Title II programs, adult education programs must attempt to gather Social Security information from students. A student may refuse to provide his/her SSN to a local pro-gram; however, local program personnel will explain how this information is used and its importance in demonstrating program performance, as this makes the student's achievement non-reportable. This can be done by indicating to students:

1. The purpose (s) for requesting a social security number;
2. The fact that this data is kept confidential;
3. Student names and other personal identifiers are not disclosed in the federal reporting process; and
4. The need to have accurate data for outcome reporting to continued federal support for the program.

Refer to the [Confidentiality and Personally Identifiable Information Policy](#).

Professional Development Policy

This policy is described in detail in [Section VII—Professional Development System](#).

SECTION IV: INSTRUCTIONAL SERVICES

<u>Iowa AEL Program Models</u>	<u>53</u>
Instructional Models	53
Managed Enrollment Classes	53
Short-Term and Special Topic Classes	54
Open Entry/Open Exit Classes	54
Tutoring Classes	
Student Experience Model	54
Orientation	56
Registration and Enrollment	58
Goal Setting and Individual Learning Plans	58
Retention and Persistence	61
Monitoring Student Performance	61
Exiting Students	61
Follow-Up	62
<u>Instructional Plans</u>	<u>62</u>
Standards Framework	62
Content Standards	63
College and Career Readiness Standards	64
Iowa Core 21st Century Skills	64
Instructor Standards	65
Curriculum Development	66
Instructional Strategies	66
Implicit Instruction	67
Explicit Instruction	68
Instructional Considerations	69
Learning Activities	70
Lesson Plans	71
Program Components	73
Optional Components	74
Principles of Adult Learning	74
Dealing with Programmatic Issues	76
Dealing with Situational and Dispositional Issues	76
<u>Referring Students</u>	<u>76</u>
GAP Tuition Assistance Program	77
Pathways to Academic Career and Employment (PACE)	77
<u>Coordinator Responsibility</u>	<u>77</u>

Iowa AEL Program Models

Programs have adopted various scheduling, intake, and delivery models for their classes. Some models are more effective than others for attracting and retaining students. Three instructional models are recognized by the IDOE Adult Education and Literacy: Managed, Open Entry/Open Exit, and Tutoring. Programs should ensure that they use the model that best meets the needs of the targeted student population. Although programs are free to select the models that will be used, the state is committed to increasing the number of managed classes offered statewide.

Retention is crucial to student success; therefore, it is imperative that programs incorporate structure, evidence-based strategies and practices that encourage student motivation, persistence and achievement. The development of a student experience model is based on student retention research. The framework was designed to:

- promote the development of systematic processes, procedures, and program components that enhance the quality of literacy services and increase student retention; and
- help local programs meet the standards and benchmarks and the accountability requirements.

Instructional Models

How a program schedules classes is an important variable impacting student successes. Scheduling features affecting the success of students include:

- Duration (how many weeks/months per program year the class is open)
- Intensity (how many hours/weeks of instruction are available)
- Schedule (whether students begin and end the class at the same time or enroll and exit constantly)

In order for students to make progress toward their goals, programs of sufficient duration and intensity must be established. To demonstrate academic progress, a minimum of 40 hours is required by the test vendor with a recommendation of 70 to 100 hours of instruction is recommended. The program's schedule also affects organization and instruction delivery. Local programs are encouraged to provide appropriate scheduling methods based on the needs of students.

Managed Enrollment Classes

Managed classes have an established cycle with a start and end date. It is expected that student attendance policies will be in place, explained to students, and enforced; for example, students may miss no more than a specific number of classes and must re-enroll if they exceed the allowed number of absences. Classes that utilize the managed structure offer scheduled, well-advertised registration and assessment days and times at regular intervals. New applicants are asked to come for registration at those appointed times. Managed enrollment classes should provide instruction in the contexts of community, worker, and family. Learning is contextualized when instructional content, methods, and materials are related to the learner experiences and environment. Learning occurs best when context is embedded in instruction, when the skills or knowledge can be quickly applied in daily life, and when learners can construct personal meaning. For further information: [Managed Enrollment: An Opportunity to Reinvalidate the Adult Basic Education Experience](#)

Note: All managed classes must meet for a minimum of 5 hours a week.

Short-Term and Special Topic Classes

Some managed classes are specifically designed to address integrated education and training that provides adult education and literacy activities concurrently and contextually with workforce preparation activities and workforce training for a specific occupation or occupational cluster for the purpose of educational and career advancement. Short-term classes work most effectively when they are established around a particular level (such as beginning literacy, advanced ESL, high adult secondary) or around a special topic (such as college readiness, work readiness, citizenship, essay writing, phonics, or digital literacy).

Because of their limited duration, short-term classes need to be of sufficient intensity (offering enough hours/week) in order for students to show progress. It is important to build in sufficient contact hours to meet recommended post-testing guidelines

Open Entry/Open Exit (Continuous Enrollment) Classes

Many adult education and literacy classes are organized as an open entry / open exit class. They are either in operation year round or throughout the program year with shortened hours during the summer. Many students enroll, exit the class, and even re-enroll at various times throughout the program year. Thus, even though the class may have a sufficient duration, students may not stay long enough or consistently enough to make progress. In these *open entry/open exit* classes (sometimes referred to as *continuous enrollment*) there are no set beginnings and endings of study terms, no mandatory start/finish times, and no set testing periods. Students enroll or exit at their convenience and take post-tests when they have completed a minimum of 40 hours between assessments.

Tutoring Classes

Adult education and literacy programs often try to manage the comings and goings of participants by establishing a learning lab setting. These open sessions, to make up hours or to accommodate difficult scheduling issues are considered tutoring classes. In such a setting, it is easy to fall into a pattern of testing, prescribing materials, worksheets, textbooks or other independent study materials. Not all students are capable of finding success working independently.

Student Experience Model

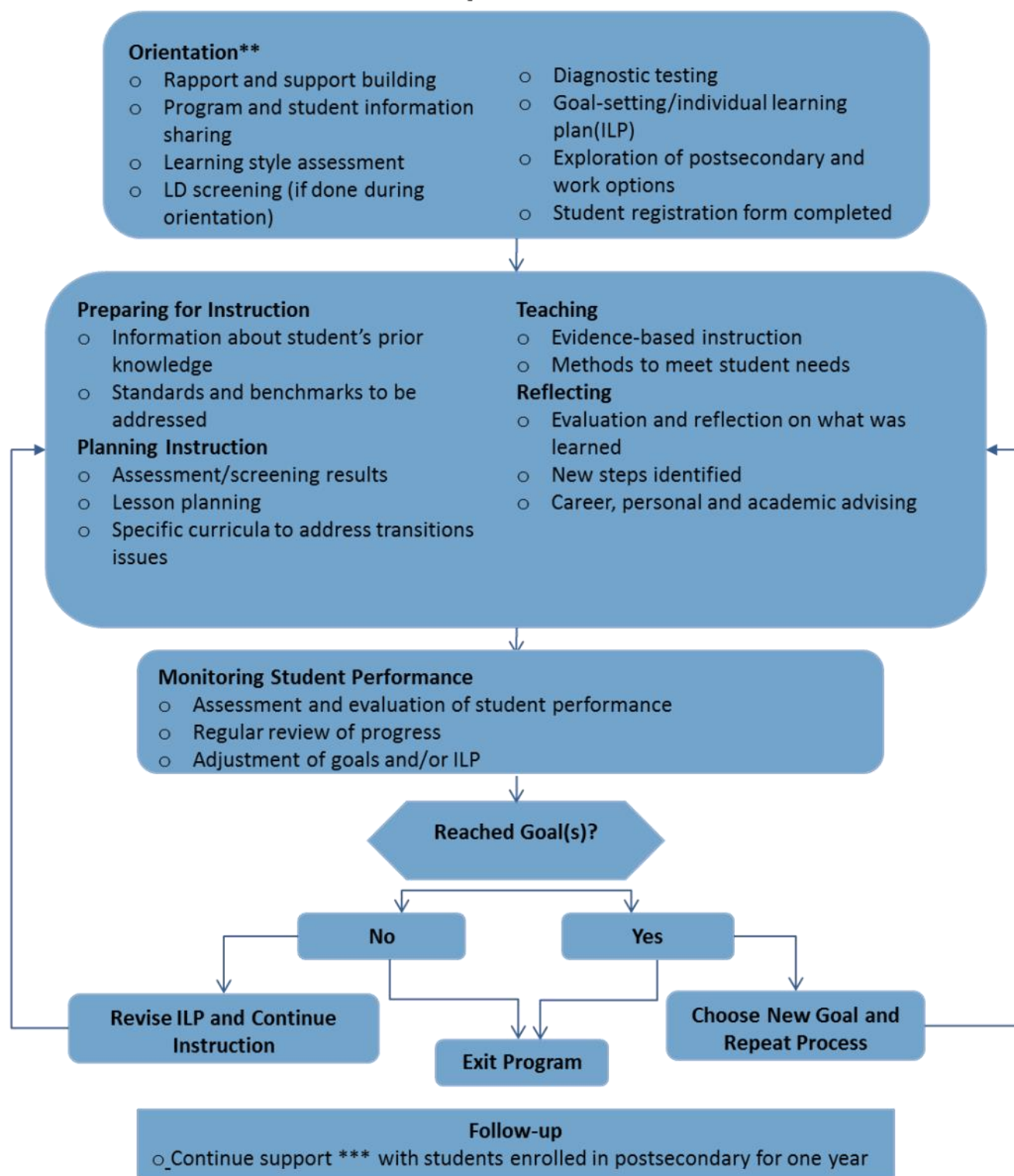
The Student Experience Model represents good practices employed by adult education and literacy programs. It delineates the sequence of events that a student encounters as he/she goes through the educational process. Variations in the model exist based upon program structure and student needs. Intervention and referral to other services may occur at anytime during the student's experience in an adult education and literacy program. The Model describes more than just the intake process by tracking the student's progress, their revised learning plan and ultimate exit from the program.

A chart of the elements of the Student Experience Model is included on the following page. The chart shows the elements of the model as separate and distinct. However, based on the variety of student needs and services available in an adult education and literacy program, some of these elements may overlap or blend together. With the implementation of WIOA, elements of delivery and the flow of processes with core partners might be reviewed and lead to refining local program models.

In addition, a Workplace Education Model is included in [Section IV](#). This model may be followed for adult education and literacy classes offered at worksites, especially when services have been customized to meet the employer's needs.

Figure 18: Student Experience Model

Student Experience Model*



*The Student Experience Model may vary based upon program structure and student needs.

**Intervention and referral to other services may occur at anytime during the student's experience in an AEL program.

***Support –defined as academic intervention per the concurrent enrollment policy

July 2015

Orientation

The purpose of orientation is to ensure that all prospective students are provided with the information and assistance that they need to make informed decisions about their participation in ABLE. Some individuals may have been away from the educational process for a long time, so orientation is a way to reintroduce the learning process and to acquaint participants with AEL in Iowa.

In general:

- All students receive an orientation that takes place at a time other than during instructional time.
- The required components of orientation include rapport and support building, program and student information sharing, learning style inventory, initial goal setting, and locator and/or initial appraisal assessment.

Local funded programs may determine the order of required orientation activities and programs may find it beneficial to combine some of the activities. However the following orientation features are expected:

- Orientation is expected for all persons interested in participating in an adult education and literacy program.
- All adult education and literacy funded programs are expected to implement a formal, separate student orientation that includes the orientation activities detailed on the following pages.
- Orientation is expected to be facilitated by qualified, knowledgeable professional staff.
- Orientation is expected to be offered at scheduled intervals to support managed enrollment.
- The length of orientation is expected to reflect the goals of the local program and the needs of the students.

Orientation activities

The following activities are described as individual elements, but can often be blended and revisited throughout the intake process:

Rapport and Support Building — This includes activities (e.g., icebreakers, motivational videos, student success stories, group activities, mini-lessons) that help the student build confidence, feel comfortable, establish relationships, identify support systems, and increase the level of trust and motivation.

Program and Student Information Sharing — Program staff and the student exchange information so that the student may make an informed decision about participation in an adult education and literacy program. This includes:

- program information — oral and written information about the program's goals, services, structure, delivery, organization, policies, procedures, schedules, referral and support services, the instructor's role, and the program's expectations of the students **Note:** It is important to introduce the purpose of the pre and post assessment, and the standards and benchmarks to students during orientation so that they may be aware of the ways in which learning will be assessed, monitored, and documented.
- student information — student contact information (i.e., name, address, telephone number, and student Social Security Number) and other demographic data including student contract and release of information

Learning Style Inventory — An inventory is to be administered that identifies the student's preferred style of processing information. **Note:** for special populations such as ESL or students with special needs, it may be more appropriate to administer the inventory at a time other than during orientation. The program may choose the learning style inventory it wants to use.

Goal-setting Instruction — This includes basic instruction on how to set goals. (See the Goal- Setting portion of this section for further information.)

Initial Assessment — Programs should administer instruments for the purpose of determining the student's estimated skill level and the appropriate diagnostic testing level for the entering student. (See the [Assessment Policy Guidelines](#) for exceptions and further information.)

Initial Screening for Learning Disabilities — Some programs may choose to conduct a screening for possible learning disabilities during orientation. The purpose of screening is two-fold. The results from the screening can be used by program staff and the learner to decide whether the learner should be referred for further testing. Screening instruments cannot diagnose a disability. Diagnostic testing, which is often costly, must be conducted by a qualified professional, such as a psychologist, clinician, or educational diagnostician. This professional must be someone who is licensed to administer psycho-educational batteries that determine the presence of a learning disability. This diagnosis allows the individual to obtain certain accommodations for HiSET™ testing, in higher education settings, and in the workplace. While few adult learners will choose to pursue diagnostic testing, all adults with specific learning disabilities can benefit from instructional adaptations that allow them to achieve their goals. Local funded programs must choose a learning disability screening instrument to utilize. However, the instrument selected and the process of how students will be screened is a programmatic decision.

If a program participates in a screening practice, a formal policy needs to be established detailing which of the three options the program prescribes:

Option 1: Screen all students (no consent form needed).

Option 2: Develop criteria for screening students for the probability of learning disabilities and apply the criteria consistently (consent form required).

Option 3: Screen all students with one instrument and follow-up with a more extensive screening with those who score high on the initial screening (consent form required for secondary screening).

Programs need to complete and retain the [Special Needs Form](#) that apply for each student who is screened and/or diagnosed with learning disabilities or other special learning needs (i.e., vision and hearing problems). If a program is not screening all students, but is selective, then an [informed consent from](#) the student must be obtained before legally proceeding. The consent form should contain the following information:

- The name of the screening test(s)
- The interval of time for screening
- The purpose of screening
- Who will see the results
- How will the results be used
- Where the protocol forms will be stored and for how long
- The learner's signature and the date
- The program representative's signature

The learner should be given a copy of the informed consent form and the program should keep the original on file. **Note:** Disability related information should be kept in separate files with access limited to appropriate personnel. Documentation of disability should be held by a single source within the institution in order to protect the confidentiality of persons with disabilities by assuring such limited access.

Note: Based on the objective, focus of the program, program structure, student demographics, and other factors, programs may choose to expand orientation by adding additional topics or activities. Suggestions include:

- HiSET™ testing information
- career interests/needs assessments
- additional diagnostic assessments
- problem-solving strategies
- reading comprehension strategies
- skills and interests inventories
- workplace assessments
- study/test taking strategies
- time management techniques

Registration and Enrollment

A student is registered once he/she has made an informed decision to participate in an AEL program — usually at the end of orientation. At that time, the following data must be properly and completely collected and recorded in the management system database:

- Demographic data
- Primary and secondary goals
- Pre-test scores
- Class assignment
- Signed informed consent form

For more detail on data collection, see [Iowa's Data Dictionary PY 2016](#).

By the time of registration, students should have been informed of follow-up procedures including use of a Social Security number to determine attainment of employment, secondary school diploma or HSED and/or postsecondary education. At this time, students should be asked to complete the [Student Release Form](#).

Enrollment means that a student has received a minimum of 12 hours of service in an adult education and literacy program. Until an individual has received 12 hours of service, he/she is considered a participant rather than an enrolled student. Only enrolled students are counted for federal tables and the local program enrollment goal.

All required information collected on the student intake must be entered into TE® along with hours of attendance according to the Assessment Policy Guidelines

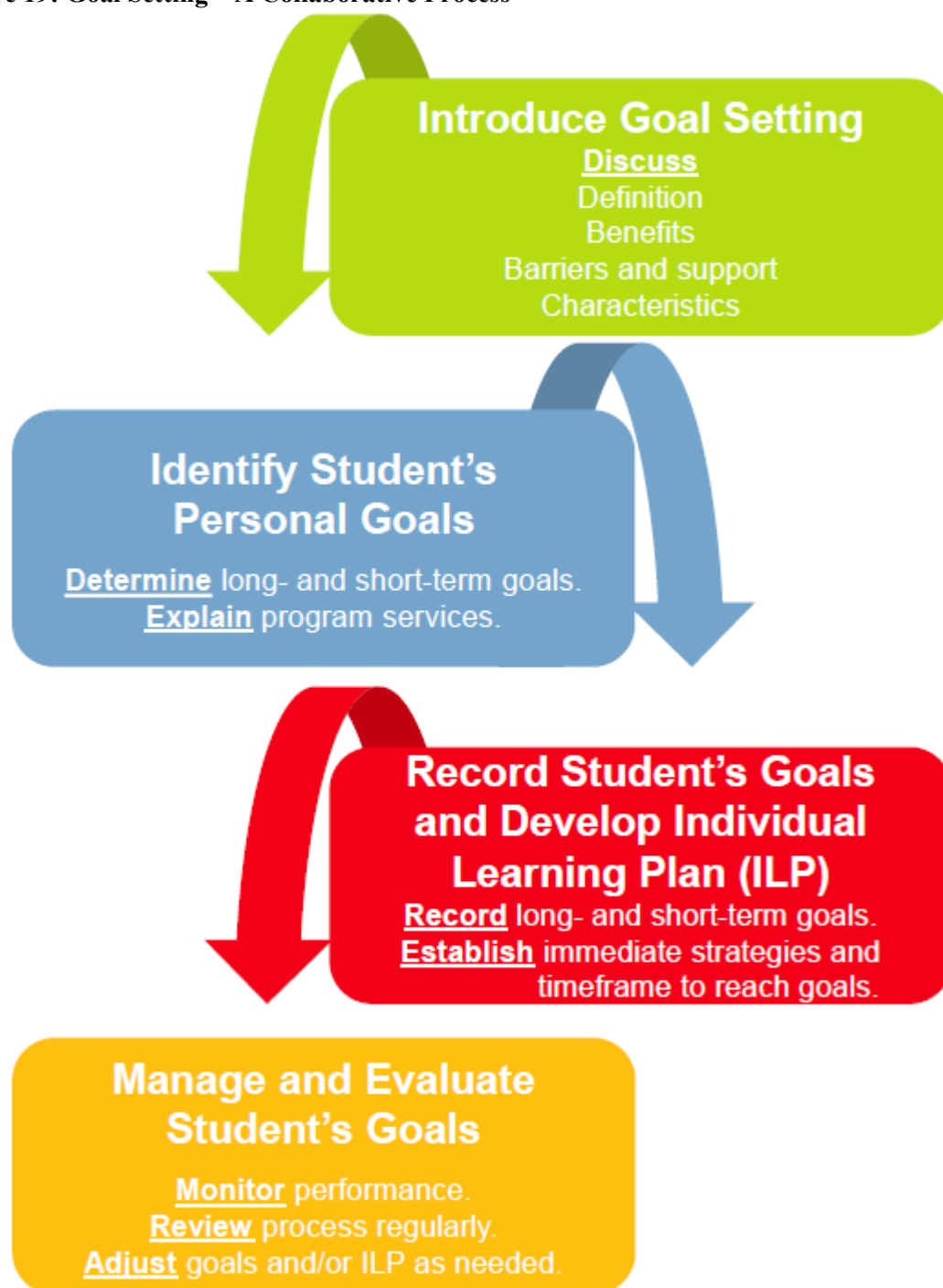
Goal Setting and Individual Learning Plans

Goal setting is one of the most important processes of any learning experience. This ongoing process begins during orientation, extends into the creation of the student's individual learning plan and continues throughout instruction as the student progresses. A chart illustrating the Goal-setting Process can be found on the following page.

Student implications:

- If students have a clear vision of where they are going and the steps they will take to get there, they will be motivated to stay in the program.
- Goals provide long-term vision and short-term motivation by helping students measure progress/level completion and take pride in their achievements.

Figure 19: Goal Setting—A Collaborative Process



Program implications:

- Program performance is assessed by comparing students' outcomes to their achievement. For example, in examining employment measures, a rate or percentage is computed by dividing the number of students who obtained a job by the total number of students who were placed in the cohort of "obtain a job." A student is placed in this cohort if they are unemployed and looking for a job upon entering the program.
- Success in meeting program objectives may be increased by helping students set realistic goals that are achievable within the program year.

The goal-setting process usually occurs during an interview phase with the student and a case manager or navigator to provide an opportunity to help students translate their personal goals into goals that can be achieved through adult education and literacy. Every effort should be made to:

- Determine students' long-term goals. — Beyond their participation in adult education and literacy. This should be their major, overarching goals.
- Explain program and community services. — Program staff should inform students of available services and discuss how the services may help the students reach their long-term goals.
- Establish S.M.A.R.T. goals. — Program staff should help the students identify goals and explain how these goals will be measured and documented. These goals should have a timeframe established. established after diagnostic testing has occurred.

To retain students, it is important for programs to meet the needs of students. This will help students make the commitment to overcome obstacles and persist in the program until they make progress or reach their goal(s). Adults need a **purpose** (goal) for participating in adult education and literacy programs as well as **motivation** to balance the *costs* of attending. Helping students to navigate through the goal-setting process can have a positive impact on retention.

In addition to identifying goals, an individual learning plan (ILP) can begin to be developed which will incorporate those goals into steps and activities to accomplish them. Goals should be realistic and broken down to a level where they can be obtained within a relatively short period.

The student's ILP should be developed in consideration of the student's educational functioning level, any content of particular importance to the student (e.g., specific career field goals, completing job applications, passing the citizenship test), learning techniques or strategies that would improve the student's performance as a learner, social skills that would help the student communicate and work with others, and methods of self-advocacy to assist the learner to articulate his/ her rights and needs.

Standardized tests, diagnostic assessments, inventories, and screenings provide much information related to the student's basic skill strengths and weaknesses, learning strategy needs, instructional adaptations, and/or accommodations that may assist the student in the learning process.

Discussions with the student when developing the ILP will provide content areas of interest to students as well as social and self-advocacy needs.

The ILP is not a static document and should be updated as needed during the course of the student's instructional time with the program.

A time frame for meeting the immediate goal and comments (e.g., indication of whether goal is met, explanation of why goal is not met, date of reviews)

Retention and Persistence

Intensity and duration of instruction affect achievement of students' goals. The type of class that is most effective depends on student needs, literacy levels, and curriculum offered. In general, classes offered for more hours in a week and more weeks per year are more effective for student goal achievement and for student retention. It is important that students participate long enough to ensure accuracy and reliability of posttest assessments administered to them to measure educational gain. Guidelines are available in the Assessment Policy Guidelines.

Multi-level classes affect the instructional environment and student learning gains. Although teaching multi-level classes is challenging, many programs organize classes in this way due to limited resources or low enrollments at some levels or sites. Multi-level classes with a large number of low-level learners may face student advancement challenges. Instruction is difficult when students' literacy levels are too diverse within the class to be adequately addressed by staff or when a program has too many such classes. It is best to have an instructor that can organize instructional material and instruction at several levels. Many times, all students can be exposed to a new topic. The differences are in the depth of the presentation and expected knowledge.

Student interest affects the instructional environment and learner gains. Maintaining student interest and motivation is key to student success.

Managed enrollment affects programs that have had an open enrollment structure. However, with the emphasis on accountability and more intense instruction, managed enrollment improves enrollment and retention. Management enrollment is defined as classes where a student may enter an instructional program only during specific enrollment periods, attend a specific class for the duration of the class term, continue in the same class for subsequent terms only by re-enrolling, and miss no more than a prescribed number of class sessions within a term.

Monitoring Student Performance

A formal review of each student's performance is required at least every 90 calendar days starting from the date of registration. Student performance is monitored to:

- provide the student with ongoing feedback about his/her performance,
- provide the instructor insight into the effectiveness of the instructional plan so areas can be adjusted as needed,
- provide the program with current student information for the maintenance and updating of information in TE®.

A progress/update form must be completed as needed to include progress assessment data or exiting from the program.

Exiting Students

A student is to be exited from the program when:

- instruction ends or
- a student has not received instruction for 90 calendar days and is not scheduled to receive further instruction.

The exit date for individuals with 90 days of non-attendance is the last date of attendance for the student. Programs should wait until the 90 days of non-attendance has passed before setting the exit date in the system, unless circumstances justify exiting a student sooner. Student exit data must be entered into TE®. The Student Exit Form does not need to be completed for students who participate for fewer than 12 hours (i.e., never considered enrolled).

Follow-Up

The NRS requires that programs complete follow-up with the cohort groups. Iowa uses state level data matching to collect follow-up measures. Data-matching links records from the program database to state databases that have the needed information on the same people. For example, using Social Security numbers, student records from a program are matched to the Unemployment Insurance Wage database to determine whether students are employed and have retained employment. To conduct this process, each student to be matched needs a valid Social Security number or college ID for post-secondary matching. This also requires each student to provide a signed document (Release of Information) allowing their information to be shared for these purposes. Students do not have to divulge their Social Security number to be served by the program, but are encouraged to do so.

With increased concern about identity theft, sensitivity to the availability of personal information, and legal requirements as reflected in the Family Educational Rights and Privacy Act (FERPA), it is extremely important that adult education and literacy programs maintain strict adherence to data security issues. All student records must be secured in locked files. Forms such as registration forms and data match reports that may contain sensitive information such as students' Social Security numbers must be shredded or otherwise appropriately destroyed after the information is entered into TE® and is retained in hard copy for one year after the student has exited the program.

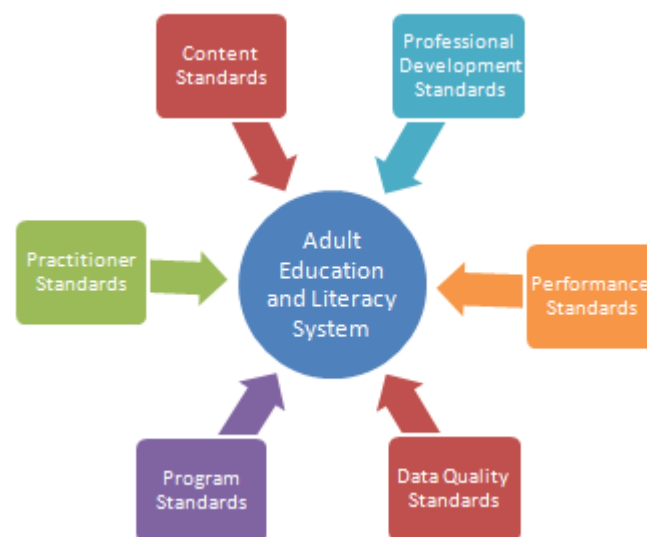
Instructional Plans

Adult education and family literacy teachers must have a thoughtful plan, with clearly articulated methods, as to how they will sequence lessons, use instructional materials, and design learning activities. Curriculum and instructional strategies should make career awareness and workforce skills a central context for learning. Teachers must be able to adjust the plan in response to the needs of their students, including those with learning differences.

Standards Framework

The success of any organization depends on a set of clear, shared goals and standards. Iowa's Adult Education and Literacy programs are no exception. Setting high expectations and clearly stating the criteria needed for success are essential in creating a responsive and effective educational system. Clearly and commonly defined standards serve multiple purposes:

- Practitioner standards define what teachers, administrators, and support staff need to know and be able to do in order to provide quality services;
- Professional development standards define the essential elements of meaningful professional growth activities;
- Program standards define the characteristics that exemplary local programs should demonstrate;
- Content standards clarify the skills and knowledge that adult learners need to know and be able to do in their roles as workers, parents and community members;
- Data quality standards ensure that reliable and valid data are available to make informed decisions and guide program management; and
- Performance standards set high expectations for program outcomes

Figure 20: Adult Education and Literacy System

The role of Iowa's adult education and literacy programs are to connect these six sets of standards into a coherent, interrelated system of quality services to adult learners. At the foundation of ensuring high quality instruction is the practitioner and professional development standards. The practitioner standards provide a pathway for professional growth and guide the development of high quality activities that reflect the professional development standards. Through responsive professional development, practitioners gain a better understanding of how to implement program standards that lead to effective teaching, learning, administration and support. Professional development provides the tools and processes to help practitioners use the content standards to help adult learners gain the skills and knowledge they need to reach their educational and personal goals. Through effective professional development, programs learn how to implement reliable and valid data standards that can be used to analyze progress and make necessary adjustments for continuous improvement. When these sets of standards are being fully implemented, the result is a high quality delivery system that leads to strong student outcomes and exceeding the performance standards. Collectively, these standards make clear the shared expectations for success and help to delineate what matters in learning and teaching. The standards also facilitate communication through a common language.

Content Standards

A piece in the accountability system has been defining what should be taught and assessed in adult education and literacy programs. Content standards fill that gap by describing what learners should know and be able to do. Instructors use content standards to plan instruction, and learners use standards to set learning goals. Standards help instructors and learners develop plans that keep them focused and engaged. People may question whether standardized tests adequately measure learning gains, but learners want feedback on their progress and benefit from ongoing classroom assessment.

Standards have to reflect learner needs and goals across programs within the state. Everyone in the system "should know what is expected, what they will be measured on, and what the results imply for what they should do next" (National Research Council 1999, 3). Standards-based education provides a structured approach for state adult education agencies and local programs to create a system that explicitly links standards, assessments, and curriculum and instruction.

Content standards drive the system. They clearly state what learners should know and be able to do, and as such, determine what is taught within adult education programs. Curriculum and instruction focus on what is taught, the instructional design of the program, and the indicators of program quality. Standards guide programs to develop curricula that outline the knowledge, skills, learning activities, and materials that will enable learners to achieve the standards.

Moving forward with standards provides the state and local program coordinators with an opportunity to think systemically about change. The development of content standards is a valuable process for (1) negotiating the range of knowledge and skills that learners should have, (2) measuring learners' knowledge and skills, and (3) developing curriculum with a clearly articulated instructional approach and maintaining a strong delivery system. Having a shared understanding of the goals for standards and a common language will allow partner agencies, adult educators, and learners to work more efficiently in planning, developing, reviewing, and implementing the standards across the state.

College and Career Readiness Standards

In April of 2013, the Office of Vocational and Adult Education released a study of the common core standards building on a long commitment to promote adult education content standards. The central purpose of the study —Promoting College and Career Ready Standards in Adult Basic Education—is to forge a stronger link among adult education, postsecondary education, and the world of work. The suggested standards present a starting point for raising awareness and understanding of the critical skills and knowledge expected and required for success in colleges, technical training programs, and employment in the 21st century. (Pimentel 2013)

While the academic standards developed by states in recent decades reflected broad agreement among experts about what was desirable for students to learn, they did not necessarily identify what was essential for students to know to be prepared for the rigors of postsecondary training, work, or citizenship. It was not until the development of the Common Core State Standards (CCSS) in 2010—to date adopted by 46 states for K–12 programs—that such a consensus emerged. Based on evidence from a wide array of sources, including student performance data, academic research, assessment data, and results of large-scale surveys of postsecondary instructors and employers, the CCSS offer clear signposts indicating what is most important for college and career readiness (National Governors Association [NGA] 2010b, 2010c, pp. 91–93).

Iowa Core 21st Century Skills

The Framework for 21st Century Learning stated, “We believe schools must move beyond a focus on basic competency in core subjects to promoting understanding of academic content at much higher levels by weaving 21st century interdisciplinary themes into core subjects” (2007). 21st century skills bridge the knowledge, skills, and dispositions of students from the core academic areas to real life application.

Descriptions of what constitute essential 21st century skills are plentiful as well. In the 2007 session, the Iowa Legislature established the Iowa 21st century framework as:

- Political Science - Civic literacy
- Employability Skills
- Financial Literacy
- Health Literacy
- Technology Literacy

While the WIOA has defined [Workforce Preparation Activities](#) to include Employability Skills, the Iowa Core 21st Century skills are those standards that will help align lesson plan development. Within this 21st century skill framework are the common strands of learning and innovation; communication, information, and technology; and, life and career skills. The development of the Iowa 21st century essential concepts and skills was a collaborative process engaging the expertise of p – 16 educators, business, and industry representatives. Sources used for this work included the 1991

SCANS report, What Work Requires of Schools, and Framework for 21st Century Learning, from the Partnership for 21st Century Skills. The committee surveyed the literature and endeavored to bring together the common elements of these frameworks. The members have outlined the concepts, dispositions and habits of mind believed essential for success in the 21st century.

Instructor Standards

In June, 2015 after several months of review the final version of the AEL Instructor Standards was released to the local programs. Effective and quality instruction is an essential part of providing an exemplary educational program. Research shows that instructors are by far the most important factor in determining whether students succeed. So, where there are highly effective instructors, quality instruction follows.

These educators are passionate about actively engaging students and meeting them wherever they are on their learning journey. While the art and science of quality instruction may be more than the sum of its parts, some instructional building blocks are essential for it to occur. The standards are designed to provide standards for Iowa's adult education and literacy instructors as guidance to promote adult students' success along their path toward college and career readiness.

- | | |
|-------------------|--|
| STANDARD 1 | Instructors take responsibility for professional development and involvement in their learning community. |
| STANDARD 2 | Instructors plan, design, and implement effective instruction for the adult student. |
| STANDARD 3 | Instructors understand and use varied assessments to plan instruction, evaluate student learning, and improve program practice. |
| STANDARD 4 | Instructors help establish and support program goals and responsibilities. |
| STANDARD 5 | Instructors provide a positive adult learning environment by promoting lifelong learning and respecting diversity. |
| STANDARD 6 | Instructors take responsibility for understanding and integrating current technology options into instruction and professional development. |

In addition to establishing standards, Chapter 23—Adult Education and Literacy Programs section 6 set a qualification for the hiring of new staff effective July 1, 2015.

281—23.6(260C) Qualification of staff. Adult education and literacy programs shall be in compliance with the requirements established under this rule by July 1, 2015. The requirements of this rule apply to all staff hired after July 1, 2015. All staff hired prior to July 1, 2015, are exempt from this rule.

23.6(1) *Professional staff.* Professional staff providing instruction in an adult education and literacy program to students must possess at minimum a bachelor's degree.

23.6(2) *Volunteer staff.* Volunteer staff must possess at minimum a high school diploma or high school equivalency diploma.

Curriculum Development

Iowa's standards and performance measures define the desired outcomes for instruction. Therefore, curricula and learning activities should be selected that lead students to the achievement of the knowledge and skills reflected in standards. Instruction must be designed in consideration of students' learning goals and needs.

A variety of teaching modalities, including technology, small group instruction, lecture, peer tutoring, and individualized instruction, should be used as appropriate as well as a variety of teaching materials. Instructors should use evidence-based instructional methods and practices that have proven to support student persistence and achievement of goals.

It is up to instructors to select appropriate curricula and learning activities that will help lead students to the achievement of their academic goals and the acquisition of skills represented by Iowa's standards. Curriculum is the way content is designed and delivered. It includes the structure, organization, balance, and presentation of expected or recommended study topics that address content standards and meet local expectations.

A curriculum contains three primary elements:

- Substance—communicates what should be taught, it is the field of instruction.
- Purpose—communicates why a topic should be taught, it is the context of instruction.
- Practice—communicates how a topic should be taught and learned., it is the methodology of instruction. (Methodology includes the collection and use of evidence of students' learning to inform and to adjust instruction.)

Iowa's standards reflect the purpose and substance of curriculum. All AEL programs need to ensure that teaching materials and activities that they use align to Iowa's standards. Documents which link instructional materials and activities to desired learning outcomes are referred to as curriculum alignments.

During Standards-in-Action, curriculum alignment activities were done to illustrate linking standards to activities and outcomes. Involving instructional staff in the production of curriculum alignments is one way to ensure that teachers are familiar with Iowa's standards and the texts, materials, and other activities that will help students achieve them.

Figure 21: Example Alignment Tool—Distance Education

Level A – Beginning Literacy; Level B- Beginning and Intermediate Low; Level C- Intermediate High

		Resource -	
Standards – Language Arts (Language and Reading)		Section/Sample	Level of Alignment
CCR Anchor 4L: Determine or clarify the meaning of unknown and multiple-meaning words and phrases by using context clues, analyzing meaningful word parts, and consulting general and specialized reference materials, as appropriate.			
Level A	(L.1.4) Determine or clarify the meaning of unknown and multiple-meaning words and phrases, choosing flexibly from an array of strategies.		
	a) Use sentence-level context as a clue to the meaning of a word or phrase.		
	b) Use frequently occurring affixes as a clue to the meaning of a word.		
	c) Identify frequently occurring root words (e.g., <i>look</i>) and their inflectional forms (e.g., <i>looks, looked, looking</i>).		

Instructional Strategies

Among best practices related to instruction, research suggests the following:¹

- Classes tailored to students (needs, preferences, skill levels, etc.);
- Varied methods of instruction (including small groups, computer activities, etc.); and
- A high degree of teacher-student and student-student interaction.

Therefore a balanced mix of instructional methods is important in managing the AEL classroom. Each learner has preferences regarding how he or she learns best (working with a large group, small group, alone, with a tutor, etc.). Learning style inventories and questionnaires may help to determine student preferences. These preferences should be taken into consideration when organizing classes for your program.

Figure 22: Effective and Efficient Teaching

Principles of Effective Instruction²
1. Optimize engaged time/time on task.
2. Promote high levels of success.
3. Increase content coverage.
4. Spend more time in instructional groups.
5. Scaffold instruction.
6. Address different forms of knowledge.

Regardless of which method of delivery is chosen, there are many, coordinators should always develop classes that best address the needs of their students as demonstrated in data. There will never be one method that fits all as adult education and literacy programs work toward developing independent learners that will be successful as family members, community members, workers, and lifelong learners. Listed below is a brief description of two types of instruction methods, implicit and explicit. Used exclusively or blended, all types of instruction method should be accompanied with a demonstration of the learners acquired competency through a combination of formative and summative assessments.

Implicit Instruction

Contemporary adult learning theories such as andragogy, transformational learning, and self-directed learning espouse the importance of adults taking responsibility for and directing their own learning experiences. Based on these theories many adult educators view themselves as facilitators of learning, and may only use implicit instruction methods (e.g., posing questions to learners who ask for help) and self-paced workbooks or computer modules in one-to-one instruction. Often observations of adult education and literacy learning center classroom activities reveals that learners worked alone or with computers over one third of the time they were in the classroom.

For most adults involved in career training implicit instruction and working alone may be the best approaches. However, for individuals who did not achieve academic success in traditional K-12 education settings, and thus are pursuing a High School Equivalency Diploma through adult education, other instructional models may need to be considered. Explanations, demonstrations, and one or two practice opportunities might not be sufficient to for all types of adult learners.

¹Improving Basic Skills: The Effects of Adult Education in Welfare to Work Programs. <http://www.mdrc.org/publications/179/overview.html>

²Archer, A. and Hughes, C. (2011) *Effective and Efficient Teaching*. Guilford Press.

Explicit Instruction

Adult education and literacy programs have little from which to draw when searching for research-based instructional practices to address the needs of adult learners. Explicit instruction can be viewed as providing a series of instructional supports or scaffolds—first through the logical selection and sequencing of content, and then by breaking down that content into manageable instructional units based on students’ cognitive capabilities.³ Instructional delivery is characterized by clear descriptions and demonstrations of a skill, followed by supported practice and timely feedback. Initial practice is carried out with high levels of teacher involvement; however, once student success is evident, the teacher’s support is systematically withdrawn, and the students move toward independent performance. The concept of “I do, we do, you do” describes the framework of explicit instruction.

Programs could modify instruction typically found in programs characterized by independent work on assignments, lectures over general content topics, and reading practice by engaging the class with explicit positive and corrective responses and feedback. The sixteen elements of an explicit classroom highlight the level of engagement between instructor and learner.

Typically, in providing explicit instruction, coordinators will need to overcome the tardiness, absenteeism, lack of disciplinary sanctions, tuning out, and dropping out⁴ that result from voluntary or mandated participation. This is often why explicit instruction is coupled with managed enrollment, however a variety of instruction methods can and often do exist simultaneously within a single program.

Figure 23: Sixteen Elements of Explicit Instruction

Sixteen Elements of Explicit Instruction

1. Focus instruction on critical content.
2. Sequence skills logically.
3. Break down complex skills and strategies into smaller instructional units.
4. Design organized and focused lessons.
5. Begin lessons with a clear statement of the lesson goals and your expectations.
6. Review prior skills and knowledge before beginning instruction.
7. Provide step-by-step instruction.
8. Use clear and concise language.
9. Provide an adequate range of examples and non-examples.
10. Provide guided and supported practice.
11. Require frequent response.
12. Monitor student performance closely.
13. Provide immediate affirmative and corrective feedback.
14. Deliver the lesson at a brisk pace.
15. Help students organize knowledge.
16. Provide distributed and cumulative practice.

³*Improving Basic Skills: The Effects of Adult Education in Welfare to Work Programs.* <http://www.mdrc.org/publications/179/overview.html>

⁴Beder and Medina, *Classroom Dynamics in Adult Literacy Education*, <http://www.ncsall.net/fileadmin/resources/research/report18.pdf>

Instructional Considerations

Instruction is the “practice” part of curriculum. When planning and implementing instruction, ABLE instructional staff should remember that learning situations for all students should:

- be purposeful, by providing activities that will help students to achieve their goals;
- be transparent, by offering students a clear understanding of what they need to know and be able to do to reach their goals;
- be contextual, by providing learning activities in a context that is meaningful to their lives;
- build upon students’ expertise, by utilizing students’ prior knowledge and experience.

To meet the curricula needs of students in the Iowa AEL program, it is important to determine their skill levels to provide instruction in the areas that need improvement. Ultimately, the goal is to find the best fit of materials and activities to promote student progress in their identified goal area(s).

The [Educational Functioning Level Descriptor](#) provides global descriptions of students' abilities in reading/writing, numeracy (math), and functional workplace skills. For ESL learners, listening/speaking, reading/writing, and functional workplace skills are provided. The levels also specify standardized test benchmarks. This makes it possible for instructors to place AEL and ESL students into a particular level according to their scaled test scores (CASAS). Using the level descriptors and test benchmarks, instructors can also decide when students are making progress within a level, have completed a level, or are ready to move to the next level.

To enhance the learning opportunities of students with varying learning styles, good instructional practice dictates utilizing a variety of instructional materials from standard texts and workbooks to contextualize instruction to real life situations. Activities that require multisensory involvement are particularly advised for students who have, or who are suspected of having, a learning disability or ADD.

Instructors should provide instructional adaptations and accommodations to assist students who would benefit from them. Magnifying strips, color overlays, rulers, and other simple instructional adaptations can have a major impact on student learning.

Accommodations are legally required adaptations that help ensure that a student with a disability has a chance to succeed. Extra time to complete a task, large print material, and books on tape are a few examples of accommodations.

Adult students particularly appreciate and benefit from learning activities that have relevance to their day-to-day lives. Therefore, to the extent possible, teach basic skills through authentic activities. Also consider presenting lessons within the context of occupations that students may be planning to pursue. This contextualized instruction can serve to more fully engage students in their academic learning and also demonstrate to students the relevance of what they are learning to their future occupational choices.

Educational programs at all levels are being urged to utilize instructional methods that have proven via research to be successful such as explicit instruction and activating students’ prior knowledge.

Learning Activities

A range of learning activities is necessary to engage students in learning and to appeal to different learning styles. Common activities include in-class discussions, demonstrations, case studies, debates, small group work, quizzes and simulations.

There are hundreds of useful resources that can provide you with ideas to optimize learning. You may also find that your peers may have useful ideas and suggestions for tried and tested activities. With experience, activities can be modified and adapted to suit students' needs and your learning style. Below are a few examples of learning activities:

Employ Technology in Instruction as Appropriate

Knowledge of appropriate use of technology in the classroom is critical to student success. Students should have the opportunity to utilize technology in instruction and research.

Incorporate a Distance Education Option in Your Program

Structured, monitored distance education can provide an instructional option for students who have difficulty attending classes due to work schedules, family obligations, or other situations that prohibit their regular class attendance. Distance education can assist students to study throughout the summer when some programs offer fewer class options. Also, distance education, when used in addition to in-class instruction, enables students to accelerate their learning.

Help Students Reflect on Their Learning.

Instructors and students should frequently review the student's learning plan and the student's progress in developing proficiency in Ohio's standards and benchmarks. These reviews should be an opportunity to obtain the student's assessment of his or her accomplishments and input as to what instructional strategies have been particularly beneficial in and out of the ABLE classroom.

Lesson Plans

Adult education and literacy programs must plan lessons and produce lesson plans that help students achieve their goals. Lesson plans can take many forms. At a minimum, a lesson plan should include:

- expected outcomes of the activity;
- the CCR standard and/or 21st Century Skill being addressed;
- activities, materials, and resources that will be used to teach the processes and content being addressed;
- methods and/or materials that will be used to assess learning gains;
- an estimated timeline for completing the instruction.

The following is a brief exploration of the steps involved in creating a standards-based lesson plan. Lesson plans are commonly used by teachers to organize their lessons around three questions: "What to teach?"; "How to teach it?"; and "How to know if it's effective?"

What to teach?

The standards-based lesson planning process begins with an assessment of learners' needs and goals. This direct involvement of students in the instructional planning process reflects the relationship between the student, assessment, and instruction.

The content standards and benchmarks provide a reference point from which to answer this question because they are organized and leveled containing descriptions of what students should know and be able to do as a result of instruction within the specific content area. This outline of skills (benchmarks) students need to master the level gives the teacher a clear instructional path.

How to teach it?

The following are five steps of a standards-based lesson plan:

- Introduce the lesson: Create interest in the lesson. Some possible ways to do this are reviewing previously learned material or by exploring what the students know about the skill that will be taught.
- Teach the lesson: After outlining the benchmarks to identify necessary skills (the nouns and verbs), develop learning activities to teach the skills. Be sure they are meaningfully linked to the learners' goals and needs.
- Practice the lesson: Emphasizing practice over presentation results in a more effective lesson. Practice should be included throughout the learning activities so learners can monitor their own progress.
- Assess the lesson: The assessment should be observable and should specifically measure whether the objective(s) were reached. The benchmark examples of proficient performance can be used.
- Apply the lesson to the real world: Design an activity that bridges the lesson to the learners' lives outside of the classroom.

How to know if its effective?

Instructors and learners benefit from thoughtful lesson planning. It provides a framework for instruction, and it guides implementation of standards-based education. Lesson planning establishes a road map for instructors of what has been taught and what needs to be taught. It allows them to focus on one objective at a time and communicate to learners what they will learn in each lesson.

Lesson plans should incorporate ongoing assessments that determine how well learners understand concepts and skills, instructors are able to make mid-course changes in instructional procedures or provide additional support to learners based upon their learning.. Additionally, the practice and application components of the lesson help learners use the new skills and knowledge in educational and other settings, thus promoting generalization and relevance.

Figure 24: Instructional Processes

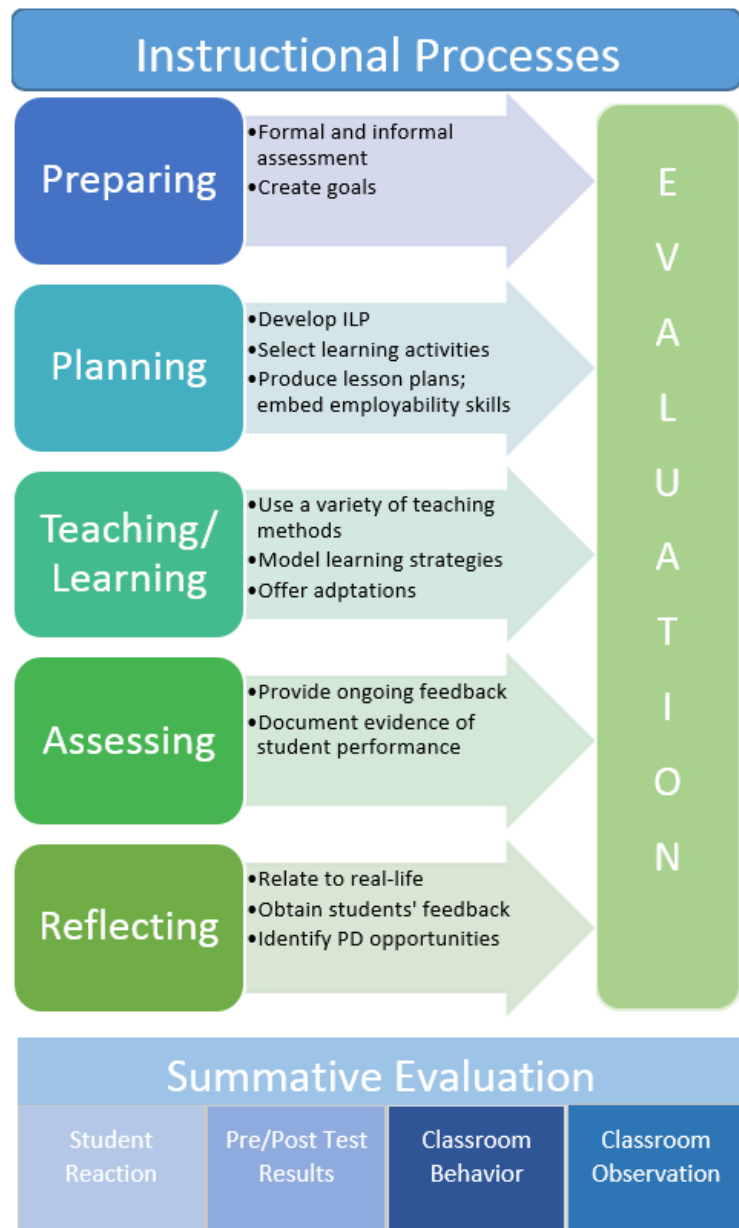


Figure 25: Designing a Lesson Plan

Opening	Gain Attention	Review – Review critical prerequisite skills.	Preview – State the goal of the lesson.
Body	Skill or Strategy	Vocabulary or Concept	Academic Rule
I do it.	Modeling: <ul style="list-style-type: none"> • Show and Tell • Involve students 	<ul style="list-style-type: none"> • Introduce the word. • Introduce the meaning of the word. • Illustrate with examples and non-examples. 	<ul style="list-style-type: none"> • Introduce the rule. • If –then construction • Illustrate the rule with examples and non-example.
We do it.	Prompted or Guided Practice: <ul style="list-style-type: none"> • Guide students in performing the skill or strategy. • Provide physical, verbal, or visual prompts. • Gradually fade scaffolding. 	<ul style="list-style-type: none"> • Guide students in analyzing examples and non-examples using the critical attributes. 	<ul style="list-style-type: none"> • Guide students in analyzing examples and non-examples using the critical attributes.
You do it.	Unprompted Practice: <ul style="list-style-type: none"> • Check students' understanding. • Have students perform the skill/strategy without prompts. 	<ul style="list-style-type: none"> • Check students' understanding. • Have students discern between examples and non-examples. • Have students generate examples and non-examples. • Ask deep processing questions. 	<ul style="list-style-type: none"> • Check students' understanding using examples and non-examples.
Closing	Review – Review critical content.	Preview – Preview the content of the next lesson.	Assign Independent Work

Program Components

Basic Skills — ABE—All programs must provide a program of instruction designed for adults who have minimal skills to receive instruction in reading, writing, speaking, problem solving, or computation at a level necessary to function in society, in the workplace, or in the family.

Advanced Skills — ASE and HSED Preparation—All programs must provide a program of instruction designed for adults who have some literacy skills and can function in everyday life, but who are not proficient in reading, writing, speaking, problem solving, or computation or do not have a high school credential.

ESL—All programs must provide a program of instruction designed to assist individuals of limited English proficiency to achieve competence in the English language. Instruction is geared to adults who want to become more fluent in English, pass U.S. citizenship tests, progress to HSED preparation, and work on job-seeking skills.

Note: Federal AEL funds may not be used to provide instruction in other languages.

Career Pathway Services—All programs must provide services to help students transition to postsecondary education and employment. All AEL programs must play a major role in helping students move beyond ABE and the HSED, but the exact activities to be undertaken will vary depending on the level of students to be served.

Distance Education—All programs must provide this component. A distance education (DE) component is defined as a formal learning activity where students and instructors are separated by geography, time, or both for the majority of the instructional period. Distance learning materials are delivered through a variety of media, including print, audio recording, videotape, broadcasts, computer software, web-based programs, and other online technology. Teachers support distance learners through communication via mail, telephone, e-mail, or online technologies and software.

Note: For accountability in TE®, distance education students are those who receive distance education services for more than 50% of their total instructional time. Refer to the [Distance Education Policy](#) for additional information.

English Literacy/Civics Education (EL/Civics)—All recipients of funds must meet the purpose as defined by the U.S. Department of Education, “... *is not simply to expand English literacy services, but to provide an integrated program of services that incorporates English literacy and civics education.*” The intention of EL/Civics is to provide integrated English literacy and civics education to immigrants and other limited English proficient populations to promote effective participation in the education, work, and civic opportunities of this country.

This means that the EL/Civics services includes an integrated curricula which blends teaching English language acquisition using a citizenship/civics education context. Examples of classes that fit the EL/Civics service model could be:

- immigrants attending classes that emphasize English acquisition, but also learn how to participate in their new community.
- immigrants attending classes that emphasize preparation for the citizenship test while they are learning English skills.

Activities funded through the EL/Civics allocation will extend instructional services; funds are to be used to supplement, not supplant, adult education programs.

Optional Components

AEL programs may offer the optional components of Family Literacy, Corrections Education, and/or Workplace Education based upon areas of need.

Family Literacy—All AEL programs are encouraged to offer instructional activities that enrich the parental role of adult learners. However, the ABLE program defines a family literacy component as an initiative that involves **all** of the following:

- adult basic and literacy education instruction for parents and/or caregivers
- educational activities for their children
- parenting instruction

Corrections Education—defined as a partnership with a jail, reformatory, work farm, detention center, halfway house, community-based rehabilitation center, or other similar institution designed for the confinement or rehabilitation of criminals. Fund used from WIOA will be limited to partnerships that involve learners who are likely to leave the correctional institution within five years of receiving AEL services.

Workplace Education—As defined in Title II, Workforce Innovation and Opportunity Act, workplace adult education and literacy activities are adult education and literacy activities offered by an eligible provider in collaboration with an employer or employee organization at a workplace or an off-site location that is designed to improve the productivity of the workforce.

These managed classes are in cooperation with a local company or industry partnership and are for students who are employed or seeking entrance into employment and target special skill areas. Work-based learning is the prime focus of the instruction. Work-based learning is a form of contextualized instruction that builds skills within the context of common work-related situations and real workplace problems, or uses actual workplace materials. For example, instruction may incorporate reading an employee handbook or hazardous materials information to improve reading comprehension. Math instruction may involve calculations related to inventory control practices or laying carpet. Refer to the Workplace Education Model as an example of student flow.

Principles of Adult Learning

Andragogy (adult learning) is a theory that holds a set of assumptions about how adults learn. Andragogy emphasizes the value of the process of learning. It uses approaches to learning that are **problem-based and collaborative** rather than didactic, and also emphasizes more **equality between the teacher and learner**. Knowles identified the six principles of adult learning outlined below.

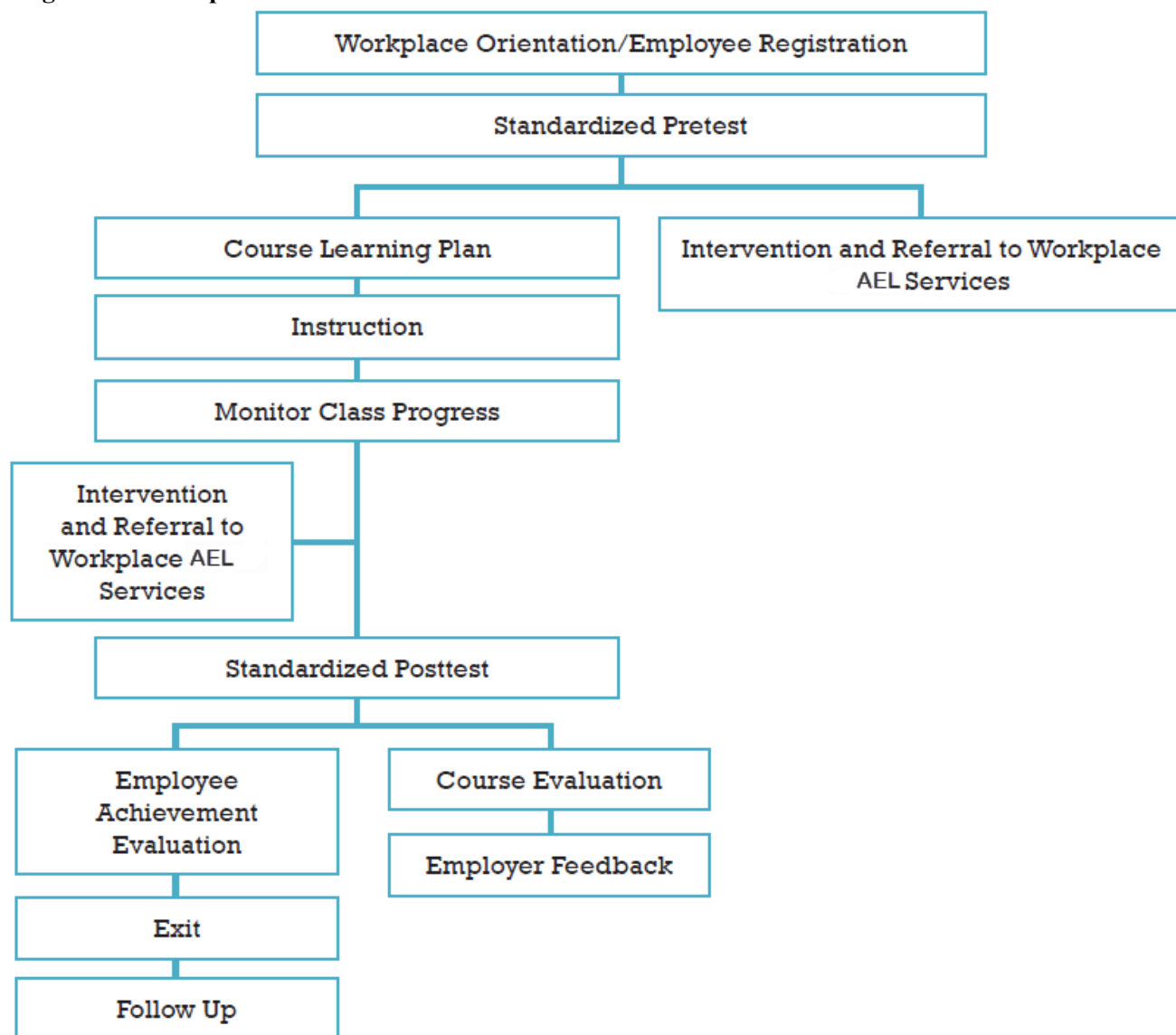
- Adults are internally motivated and self-directed.
- Adults bring life experiences and knowledge to learning experiences.
- Adults are goal oriented.
- Adults are relevancy oriented.
- Adults are practical.
- Adult learners like to be respected.

The reasons adult students stop coming to AEL programs can be divided into three categories:

Programmatic

- Bureaucratic procedures such as paperwork, unclear expectations of program, unclear goals, etc.

Figure 26: Workplace Education

**Situational**

- Family concerns such as transportation, child care, financial problems, and lack of support from family members.
- Unavoidable situations such as job conflict, relocation, and other priorities.

Dispositional

- Attitude,
- Lack of self-esteem,
- Lack of self-discipline,
- Health,
- Perceptions,
- Fear of failure, and
- Value.

Dealing with Programmatic Issues

There are specific times students are likely to drop-out (or stop-out) of an AEL program. This section discusses some programmatic strategies that may be utilized.

It is important that students experience success in *concrete* ways during their initial intake and within the first three weeks. *A quality program will strive to take up as little of the student's time as possible with bureaucratic processes.* They do not like to take standardized tests; they do not like to fill out forms; and adults especially do not like to do anything that does not make sense to them. Remember, students focus on the end reward and AEL coordinators want to instill within them an appreciation of learning along the way. Some ways this can be done include:

- Involving students quickly,
- Identifying the value and importance of the program,
- Establishing the climate of the class – starting time, breaks, dress code, code of conduct, etc.,
- Setting expectations. Let students know what they can expect from the program, and let them know what is expected.

Dealing with Situational and Dispositional Issues

To address the *situational* and *dispositional needs* that adult students bring to AEL programs, the coordinator must be prepared to provide assistance with student problems. In AEL programs, often the only counselor is going to be the AEL coordinator.

When a student enters the AEL program they are in a crisis mode. During this crisis period, the student is open to change. The student does not want to feel the way he/she feels at the moment. The sooner the AEL program can work with the student, the more likely the AEL coordinator will be able to develop an effective solution that will help with the immediate need. Then learning can take place.

Crisis counseling is to counseling as first aid is to medicine – a temporary, but immediate relief, for an emergency situation. Students experiencing a crisis situation, have feelings of disorientation, of not being able to control oneself. What is needed is some type of structured fix. An AEL coordinator must be careful to not express approval or disapproval, criticize, judge, or evaluate the student. A coordinator must remain calm. Deal with the immediate situation and do not try to uncover the deep-rooted cause of the crisis. If a serious mental health problem is suspected, refer the student to a local mental health agency or professional therapist. Two of the main counseling techniques that are useful in AEL programs are the abilities to:

- **Listen** more than talk, and
- **Ask** more than tell.

Referring Students

External agencies, including WIOA core partners (Iowa Workforce Development, Promise Jobs, and Iowa Division of Vocational Rehabilitation Services, etc.) may refer students to AEL programs. In some cases, they will send along a referral form. This referral process is a key element for local service agreements. Before agencies that serve the same clients can exchange written or spoken educational record or confidential information about these clients, agencies must have obtained a signed release of information from the individual. **Be very careful to ensure that a reciprocal release form is in place before discussing any student with someone from an external agency.** Refer to a sample [Release Form](#).

GAP Tuition Assistance Program

As a Coordinator, you will have the opportunity to interact with individuals who may be candidates for several different state sponsored programs through the Iowa Department of Education. The GAP program is one of the possible assistance programs that can offer support towards employment success.

This program was established to provide funding to community colleges for need-based tuition assistance to applicants to enable completion of continuing education certificate training programs for in-demand occupations. The main eligibility criteria is very specific and includes the following:

- The applicant's family income for the twelve months prior to the date of application.
- The applicant's family size.
- The applicant's county of residence.

An applicant must also have a demonstrated capacity to achieve the following outcomes:

- The ability to complete an eligible certificate program.
- The ability to enter a postsecondary certificate, diploma, or degree program for credit.
- The ability to gain full-time employment.
- The ability to maintain full-time employment over time.

Pathways to Academic Career and Employment (PACE)

The PACE program is similar to the GAP Tuition Assistance Program but has a more broad perspective toward academic and employment success.

The PACE funding is to be used to implement a simplified, streamlined, and comprehensive process, along with customized support services, to enable eligible participants to acquire effective academic and employment training to secure gainful, quality, in-state employment. The targeted populations includes those:

- Deemed low skilled for the purposes of attaining gainful, quality, in-state employment.
- Persons earning incomes at or below two hundred fifty percent of the federal poverty level as defined by the most recently revised poverty income guidelines published by the United States department of health and human services.
- Unemployed persons.
- Underemployed persons.
- Dislocated workers.

For additional information refer to [GAP and PACE Iowa Code](#).

Coordinator Responsibility

Coordinators are responsible for organizing the structure of the program. Best practice along with knowledge of local demographics will influence the decisions for class offerings. Use the [Checklist for Student Orientation and Intake](#) to review what your program is offering new students and classes. Programs that are continually reviewing their data and making adjustments accordingly will find greater success in meeting the demands for their adult learners.

Additionally, coordinators should be aware of the eligibility of the students being served and if professional development is needed to better serve special populations that it is provided to the staff or requested from the state—[Request for State TA/Training for AEL Personnel](#). Dealing with student information requires strict confidentiality policies. Coordinators must decide the appropriate procedure and ensure that staff are trained sufficiently so that reporting needs are met, yet personally identifiable information is not shared beyond the what is necessary, review [Section V—System Accountability](#).

SECTION V: SYSTEM ACCOUNTABILITY

<u>Program Performance</u>	<u>79</u>
Program Standards	80
Performance Standards	80
Iowa Adult Education and Literacy Performance Measures	81
<u>Continuous Improvement Planning – Local Extension Plan</u>	<u>83</u>
Iowa’s Continuous Improvement Benchmark Model	83
<u>Participatory Planning Committee</u>	<u>84</u>
Regional (Local) Workforce Investment Boards	84
<u>Monitoring Program Performance</u>	<u>85</u>
Monitoring Tool	85
Monitoring Schedule for PY 2016	86
Monitoring Report	87
<u>Coordinator Responsibility</u>	<u>87</u>

Program Performance

As 2015 introduces a state legislative investment in adult education, the need to demonstrate program performance at the state and local levels becomes critical. It is not enough to provide instruction and trust that students are learning something. Since Iowa's AEL programs participate in performance based funding, it is important to be able to collect the program's data. Being accountable for the use of adult education resources requires coordinators to know how program performance is measured, understand how results compare to performance standards, and to continually make improvements in instruction and classroom management. When faced with limited program resources, the challenge as an Iowa AEL coordinator is not necessarily about doing more with less but about doing better with available resources.

The Adult Education and Family Literacy Act (AEFLA) established accountability requirements as one means of determining program effectiveness. The National Reporting System is used to measure those accountability requirements in five types of **core measures**:

- **Outcome Measures** include educational gains, entered employment, retained employment, receipt of secondary credential or HSED credential, and placement in postsecondary training.
- **Demographic Measures** include race, ethnicity, gender, and age.
- **Student Status Measures** include labor force status, public assistance status, disability status, rural residency status, and highest degree or level of school completed.
- **Participation Measures** include contact hours and enrollment in instructional programs for special populations or topics (such as family literacy or workplace literacy).
- **Teacher Status Measures** include total years of experience and teacher certification.

Iowa AEL programs are responsible for all the required federal benchmarks as negotiated by the state. As required by federal law, each state annually negotiates performance standards for the **core outcome measures** to be applied to the upcoming fiscal/program year. Iowa's negotiated performance standards are found in Iowa's [2016 State Plan Extension](#) as well as [Benchmark Projections for PY 2016](#).

In addition, administrative rules for adult education and literacy were adopted (Chapter 23) and section 8 specifically addresses performance and accountability.

23.8(1) Accountability system. Adult education and literacy programs shall adhere to the standards established by the Adult Education and Family Literacy Act, 20 U.S.C. Ch. 73, and subsequent federal workforce training and adult education legislation in the use and administration of the accountability system. The accountability system will be a statewide system to include, but not be limited to, enrollment reports, progress indicators and core measures.

23.8(2) Performance indicators.

- a. *Compliance.* Adult education and literacy programs shall adhere to the policies and procedures outlined in the state assessment policy. Data shall be submitted by the tenth day of each month or, should that day fall outside of standard business hours, the first Monday following the tenth day of the month. All adult education and literacy programs shall comply with data quality reviews and complete quality data checks as required to ensure federal compliance with reporting.
- b. *Determination of progress.* Upon administration of a standardized assessment, within the first 12 hours of attendance, adult education and literacy programs shall place eligible students at an appropriate level of instruction. Progress assessments shall be administered after the recommended hours of instruction as published in the state assessment policy.

- c. *Core measures.* Federal and state adult education and literacy legislation has established the data required for reporting core measures, including, but not limited to, percentage of participants in unsubsidized employment during the second and fourth quarter after exit from the program; median earnings; percentage of participants who obtain a postsecondary credential or diploma during participation or within one year after exit from the program; participants achieving measurable skill gains; and effectiveness in serving employers.

Program Standards

Program standards describe the design, delivery, and management of programs and the instructional services of adult education and literacy programs. Program standards, also known as indicators of program quality, are perhaps the most familiar type of standard in adult education. Unlike content standards, which focus on what learners should know and be able to do and the extent to which learners can demonstrate their knowledge and skills, program standards focus on the program as a whole.

Indicators of program quality that support standards-based reform might include:

- offering sufficient hours of instruction for learners to develop concepts and skills necessary to meet the standards;
- using authentic materials and promote problem solving in contexts relevant to learners; and
- providing ongoing professional development opportunities for teachers to:
 - (1) gain knowledge in the content area; and
 - (2) develop skills in teaching and in monitoring progress.

Program standards under the WIOA are still being defined. With changes to expectations, services and core outcome measures—standards will be evolving until full implementation.

Performance Standards

The purpose of adult education and literacy is to improve the basic skills of the adult learner. To measure this improvement, the Workforce Innovation and Opportunity Act (WIOA) requires adult education performance standards. Iowa's performance standards are approved by OCTAE annually and may vary based on state performance from year to year.

The adult education performance standards focus on contracted enrollment, educational gains by educational functioning levels (EFL), and follow-up core outcomes. The current federal funding formula incentivizes these key areas for improvement. WIOA, requires states to establish a comprehensive performance accountability system to assess the effectiveness of funded local programs in making continuous improvement in their adult education and literacy activities. Future competitions for funding will be based on the previous two years performance. All performance results for adult education and literacy is based on unduplicated enrollment numbers.

The following chart compares the performance levels required for this program year, 2016, to the previous year as it applies to Adult Basic Education (ABE), Adult Secondary Education (ASE) and English as a Second Language (ESL).

IOWA ADULT EDUCATION AND LITERACY PERFORMANCE MEASURES

Core Indicator #1:	Demonstrated improvements in literacy skill levels in reading, writing, and speaking the English language, numeracy problem-solving, English Language acquisition, and other literacy skills.	
	PY15 Target	PY16 Target
Measure 1	34% of ABE beginning literacy level (EFL1) learners will acquire the level of basic skills needed to complete the educational functioning level.	37% of ABE beginning literacy level (EFL1) learners will acquire the level of basic skills needed to complete the educational functioning level.
Measure 2	33% of ABE beginning level (EFL 2) learners will acquire the level of basic skills needed to complete the educational functioning level.	38% of ABE beginning level (EFL 2) learners will acquire the level of basic skills needed to complete the educational functioning level.
Measure 3	35% of ABE low intermediate level (EFL 3) learners will acquire the level of basic skills needed to complete the educational functioning level.	45% of ABE low intermediate level (EFL 3) learners will acquire the level of basic skills needed to complete the educational functioning level.
Measure 4	26% of ABE high intermediate (EFL 4) level learners will acquire the level of basic skills needed to complete the educational functioning level.	35% of ABE high intermediate (EFL 4) level learners will acquire the level of basic skills needed to complete the educational functioning level.
Measure 5	35% of ASE low (EFL 5) learners will acquire the level of basic skills needed to complete the educational functioning level.	55% of ASE low (EFL 5) learners will acquire the level of basic skills needed to complete the educational functioning level.
Measure 6	N/A (the Federal government does not recognize completion of level 6) ASE high (EFL 6) learners will acquire the level of basic skills needed to complete the educational functioning level.	N/A (the Federal government does not recognize completion of level 6) ASE high (EFL 6) learners will acquire the level of basic skills needed to complete the educational functioning level.
Measure 7	38% of ESL beginning literacy level (EFL 7) learners will acquire the level of basic skills needed to complete the educational functioning level.	38% of ESL beginning literacy level (EFL 7) learners will acquire the level of basic skills needed to complete the educational functioning level.
Measure 8	47% of ESL low beginning level (EFL 8) learners will acquire the level of basic skills needed to complete the educational functioning level.	47% of ESL low beginning level (EFL 8) learners will acquire the level of basic skills needed to complete the educational functioning level.
Measure 9	42% of ESL high beginning level (EFL 9) learners will acquire the level of basic skills needed to complete the educational functioning level.	42% of ESL high beginning level (EFL 9) learners will acquire the level of basic skills needed to complete the educational functioning level.
Measure 10	37% of ESL low intermediate level (EFL 10) learners will acquire the level of basic skills needed to complete the educational functioning level.	39% of ESL low intermediate level (EFL 10) learners will acquire the level of basic skills needed to complete the educational functioning level.

IOWA ADULT EDUCATION AND LITERACY PERFORMANCE MEASURES		
Core Indicator #1:	Demonstrated improvements in literacy skill levels in reading, writing, and speaking the English language, numeracy problem-solving, English Language acquisition, and other literacy skills.	
	PY15 Target	PY16 Target
Measure 11	32% of ESL high intermediate level (EFL 11) learners will acquire the level of basic skills needed to complete the educational functioning level.	38% of ESL high intermediate level (EFL 11) learners will acquire the level of basic skills needed to complete the educational functioning level.
Measure 12	20% of ESL advanced level (EFL 12) learners will acquire the level of basic skills needed to complete the educational functioning level.	22% of ESL advanced level (EFL 12) learners will acquire the level of basic skills needed to complete the educational functioning level.

IOWA ADULT EDUCATION AND LITERACY PERFORMANCE MEASURES		
Core Indicator #2:	Placement in, retention in, or completion of unsubsidized employment or postsecondary education/training.	
	PY15 Target	PY16 Target
Measure 1	48% of unemployed adult learners in the labor force upon entry who exit during the program year will obtain unsubsidized employment.	50% of unemployed adult learners in the labor force upon entry who exit during the program year will obtain unsubsidized employment.
Measure 2	69% of adult learners employed at entry who exit during the program year; and learners who were not employed at time of entry and in the labor force, who are employed at the first quarter after exit quarter, will retain their job.	63% of adult learners employed at entry who exit during the program year; and learners who were not employed at time of entry and in the labor force, who are employed at the first quarter after exit quarter, will retain their job.
Measure 3	50% of adult learners who have earned a secondary credential (HSED) while enrolled, hold a secondary credential (H.S. or equivalent diploma) at entry, or are enrolled in a class specifically designed for transitioning to community college (i.e., program type: transition class), who exit during the program year will enroll in further postsecondary academic or vocational programs.	65% of adult learners who have earned a secondary credential (HSED) while enrolled, hold a secondary credential (H.S. or equivalent) at entry, or are enrolled in a class specifically designed for transitioning to community college (i.e., program type: transition class), who exit during the program year will enroll in further postsecondary academic or vocational programs.
Core Indicator #3	Receipt of a secondary school diploma or its recognized equivalent.	
Measure 1	68% of adult learners who take all HSED tests, or are enrolled in adult high school at the high Adult Secondary Education (EFL 6) level, who exit during the program year, will pass the HSE assessment.	92% of adult learners who take all HSED tests, or are enrolled in adult high school at the high Adult Secondary Education (EFL 6) level, who exit during the program year, will pass the HSE assessment.

Continuous Improvement Planning - Local Program Plan Extension

In assessing program strengths and needs, each program should review their performance as part of their local extension plan submission as well as for their annual status update. The overall goal of continuous improvement planning and developing an annual local extension plan is to ensure the program is offering high quality services to students and to assist them in meeting their goals.

The continuous improvement planning process must be **purposeful and intentional**, as well as **ongoing and systematic**, in order that a program continually evaluates its efforts to improve its services. This is why a status report due in January of the program year will ask programs to report on their submitted local extension plan. An Adult Education and Literacy program with a planning process in place should be better able to respond to changing community needs and demographics, new initiatives, trends in technology, and staff turnover. Key steps in the local extension plan process include:

- Assess program needs/strengths (The process looks at each component and the interrelationship of components within the program; e.g., intake, orientation, curriculum development, instruction, assessment, counseling, instruction, follow-up, etc.)
- Define and prioritize goals for program improvement, based on needs.
- Develop a continuous improvement (action/work) plan to meet goal(s) that incorporate individual staff development plans.
- Engage in activities to implement the plan in order to meet those goals and document these efforts.
- Evaluate efforts and progress (e.g., the effectiveness of the plan, making revisions as needed).

The activities listed above constitute a cycle of planning that guides the process of continuous improvement from one year to the next. The steps may be simple or involved. For example, the “assess program needs/strengths” step may be as straightforward as asking, “What is needed?” A more elaborate approach might involve a staff retreat, and a year-long extensive data collection activity. Large and small programs alike make these determinations based on their individual philosophies, identified goals, staffing, and the resources at their disposal.

Iowa Continuous Improvement Benchmark Model

In a presentation to Iowa’s Adult Education programs, Barb Rolston and John Hartwig highlighted the purpose, characteristics, and overview of an adult basic education continuous improvement benchmark model. This presentation was to enable participants a chance to gain a better understanding of how to utilize the results of NRS core indicators in developing local improvement strategies while applying the principles of adult basic education. Refer to [Iowa Continuous Improvement Benchmark Model - Power-Point](#) for more information.

Participatory Planning Committee

It is important for Iowa's Adult Education and Literacy programs to establish an advisory council or participate in a cross-agency collaborative council that addresses adult education concerns. These committees should hold meetings on a regular schedule that include AEL program concerns at least twice a year. Coordinators should keep meeting agendas and minutes on file for inclusion in Iowa-grants status report due in January of the program year. Committee members should represent local community groups such as:

- Postsecondary Educational Institutions (Career-Technical Programs, Community Colleges, Universities)
- Business and Industry (Local Businesses, Chamber of Commerce, etc.)
- Workforce Investment Board Partners, Bureau of Employment Programs, Workforce Center
- Human Services (DHS, HUD, Homeless Shelters, etc.)
- Family Services (Head Start, Even Start, Family Resource Network, University Extension Service etc.)
- Disability Services (Division of Vocational Rehabilitation Services, Learning Disability Association, mental health facilities)
- Employment Services (Workforce Investment Board, One Stop Centers, Job Services)
- Public School
- Library
- Volunteer Organizations and Service Clubs
- Other Community-Based Organizations (United Way, Senior Centers, Youth Services)
- Students and Instructors from the program

Use the participatory planning committee to:

- Facilitate partnership, referrals, and networking among agencies serving the needs of adults with limited basic skills.
- Educate the community at large about the needs of this population.
- Assist your program with marketing, recruitment, student support services, special events (graduation and awards ceremonies), grant writing, and establishing information linkages.
- Provide input regarding appropriate course offerings and class locations and schedules.

As stated in [2016 State Transition Plan Extension](#) section 9.1.3 Advisory Groups and Participatory Planning Committee Members:

Each local program is required to have a participatory planning committee. Its membership is shared annually as part of the application process. These members are to assist the local program in addressing the needs, recruiting and referring participants, and serving the participants. In addition, local Workforce Investment Boards are encouraged to have qualified practitioners from adult education programs as active participants to assist in the decision-making process for program planning, development, and implementation of both federal and state mandates. These two processes help to assure that needs are being met for the eligible participants as identified by the local program.

Regional Workforce Investment Boards

While work continues to move forward with state and local implementation of WIOA, it is critical for adult education and literacy funded programs to take an active participatory role in their boards. With mandated integration with one-stop centers and common core outcome measures it is imperative to plan together. Whether serving as a voting or ex officio member or not on the board at all, programs should plan to attend their local WIB.

Monitoring Program Performance

As outlined in the [2016 Iowa State Transition Plan](#) Section 4.1:

Twenty percent of the programs have an on-site audit conducted requiring formative and summative performance data, copies of program and fiscal policies, and interviews with staff and students to verify compliance with all federal/state mandates and requirements. The remaining 80 percent of the program have a desktop audit which includes Financial, Program Management, and Data Integrity Monitoring (A-C).

Monitoring reports are being tied to continuous improvement plans with required corrective action plans for any findings. The reports also highlights the commendations for best practices and recommendations for improvement or initiatives that demonstrate promise.

To achieve the required evaluation of local adult education and literacy programs, Iowa conducts four to five site visits, on a rotating basis, along with desktop monitoring to all other sites annually. For more information refer to [Section II—Grant Management](#). Further purposes include:

- Evaluate the program's progress to-date toward contracted goals and outcomes as agreed upon in the program's Local Plan Extension.
- Ensure that the funded program has qualified staff, procedures, and systems in place to achieve contracted outcomes.
- Ensure that the program is following Iowa's Assessment policies and procedures.
- Ensure that the data management system is producing accurate and reliable information.
- Assess a funded program's instructional quality.
- Compare the program's grant expenditures to-date with approved budget.
- Identify program strengths and areas needing improvement.

Monitoring Tool

The monitoring instrument uses several tools to collect information to be used in formative and summative performance data, as a review of program and fiscal policies to verify compliance with all federal and state mandates and requirements. The [monitoring tool](#) is provided for programs to prepare for both the site and desktop monitoring. The intent of both the site and desktop monitoring is to review and evaluate program records, accomplishments, organizational procedures, and financial control systems; to provide and identify needs for technical assistance. The monitoring will evaluate programs in the following areas:

- Category A: Financial Monitoring
- Category B: Program Monitoring
- Category C: Data Monitoring
- Category D: Classroom Observation (site visit only)
 - i. Adapted Observation Tool (aligned with Instructor Standards)
 - ii. Student Survey

The monitoring instrument was based on the thirteen considerations referenced in WIOA Title II (Sec. 231) as follows:

- The degree to which the eligible provider will establish measurable goals for participant outcomes.
- The past effectiveness of an eligible provider in improving the literacy skills of adults and families, and the success of an eligible provider receiving funding in meeting or exceeding the performance levels established for the state, especially with respect to those adults with the lowest levels of literacy.
- The commitment of the eligible provider to serve individuals in the community who are most in need of literacy services, including individuals who are low-income or have minimal literacy skills.
- Whether or not the program:
 - Is of sufficient intensity and duration for participants to achieve substantial learning gains,
 - Uses instructional practices, such as phonemic awareness, systematic phonic, fluency, and
 - Has reading comprehension that research has proven to be effective in teaching individuals to read.
- Whether the activities are built on a strong foundation of research and effective educational practice.
- Whether the activities effectively employ advances in technology, as appropriate, including the use of computers.
- Whether the activities provide learning in real life contexts to ensure that an individual has the skills needed to compete in the workplace and exercise the rights and responsibilities of citizenship.
- Whether the activities are staffed by well-trained instructors, counselors, and administrators.
- Whether the activities coordinate with other available resources in the community, such as by establishing strong links with elementary schools and secondary schools, postsecondary educational institutions, one-stop centers, job training programs, and social service agencies.
- Whether the activities offer flexible schedules and support services (such as child-care and transportation) that are necessary to enable individuals, including individuals with disabilities or other special needs, to attend and complete programs.
- Whether the activities maintain a high-quality information management system that has the capacity to report participant outcomes and to monitor program performance against the state eligible agency performance measures.
- Whether the program is partnered with the One-Stop Centers
- Whether the local communities have a demonstrated need for additional English literacy programs.

Monitoring Schedule for PY 2016

Desktop monitoring will be conducted throughout the grant period to identify whether grant recipients are performing in accordance with state and federal policies and regulations, as well as program expectations. Status Updates will be conducted on a biannual basis on Iowagrants.gov. IDOE will monitor program performance in terms of meeting federal and state targets, sound management of grant resources, and compliance with IDOE policies. If questions or concerns arise from a desk review, IDOE staff will contact the reviewed program for further discussion.

Monitoring Desktop Schedule for PY 2016

<u>Date</u>	<u>Time</u>	<u>Program</u>
October 7, 2015	10:30-12:00	IHCC
October 7, 2015	1:00-2:30	KCC
November 12, 2015	10:30-12:00	DMACC
November 20, 2015	10:30-12:00	SWCC
December 2, 2015	10:30-12:00	SCC
December 2, 2015	1:00-2:30	IVCCD
December 15, 2015	10:30-12:00	EICC
January 7, 2016	10:30-12:00	NCC
January 29, 2016	10:30-12:00	WITCC
January 29, 2016	1:00-2:30	NICC

Monitoring Site Visit Schedule PY 2016

<u>Date</u>	<u>Program</u>
September 15, 2015	ICCC
October 22, 2015	IWCC
November 4, 2015	HCC
March 23, 2016	NIACC
April 5, 2016	ILCC

Pursuant to *Iowa's Adult Literacy Program State Transition Plan Program Year 2016*, IDOE reserves the right, at all reasonable times, to conduct site visits to review and evaluate grant recipient records, accomplishments, organizational procedures, and financial control systems; to conduct interviews; and to provide technical assistance. All visits will be performed in such a manner as will not unduly disrupt the grant recipient's operations. In addition, 20 percent of the programs will have an on-site audit conducted requiring formative and summative performance data, copies of program and fiscal policies, and interviews with staff and students to verify compliance with all federal/state mandates and requirements.

Monitoring Report

Based on the monitoring visit, checklist evidence, classroom observation and the general discussion between the monitoring team and the local program staff, the monitoring instrument will be summarized. The monitoring team will work with the local program to identify strengths, areas of concern, technical assistance needs and continuous improvement directives. This summary report will be provided within 45 days of our visit. A response by the local program to any corrective action required will be expected within 45 days. The corrective action plan will be posted to the corresponding Local Plan Extension application on Iowagrants.

Coordinator Responsibility

Federal and State funding of Iowa's Adult Education and Literacy programs require demonstrated accountability through accurate record keeping. Coordinators are responsible for collecting, maintaining, and providing information that proves the quality of funded programs. Programs are on the front lines of the data collection system and should allocate sufficient resources, including both staff and funds, to collect information from students—the descriptive, participative, and outcome measures that comprise the Tops Enterprise (TE) database.

For this data to be meaningful on a statewide and national basis data collection procedures within Iowa must be standardized among all programs; that is, **the data must be defined and collected in the same way by all programs to make it comparable**. The state annually updates the [Iowa Data Dictionary](#) for this purpose.

SECTION VI: FISCAL MANAGEMENT

<u>Use of Funds</u>	<u>89</u>
Reasonable and Necessary	89
Allowability of Costs	90
Allocable Costs	91
Administrative and Indirect Costs	91
<u>Expenditures</u>	<u>91</u>
Sub-Contractor Responsibility	92
Ineligible use of Funds	92
<u>Program Income</u>	<u>94</u>
<u>Matching Funds</u>	<u>94</u>
Supplementing vs Supplanting	
<u>Retention of Records</u>	<u>95</u>
<u>Coordinator Responsibility</u>	<u>95</u>

Use of Funds

Grants funding adult education and family literacy programs in Pennsylvania are managed in accordance with sound financial management policies and practices and in conformity with all state and federal financial rules and regulations. Section 304, Financial Management System, outlines the most important procedures, beginning with the application process and progressing through to the closeout of the grant.

Applicable state and federal administrative requirements, cost principles, and audit requirements are incorporated into each grant award by reference. For educational institutions, the following apply:

1. Education Department General Administrative Regulations (EDGAR) 34 Code of Federal Regulation (CFR) Parts 74, 75, 76, 77, 79, 80, 81, 82, 84, 85, 86, 97, 98, and 99 as amended on December 19, 2014, which can be found at: <http://www2.ed.gov/policy/fund/reg/edgarReg/edgar.html>
2. Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards

The financial management system must be capable of distinguishing expenditures attributable to this grant from expenditures not attributable to this grant. The system must be able to identify costs by programmatic year and by budget category and to differentiate between direct and indirect costs or administrative costs.

Funds requested must be used only for those items that are reasonable and necessary for accomplishing the objectives of the program and for implementing activities as described in the application. All items requested must be allowable expenditures under the authorizing program statutes, regulations, and rules and must be appropriately allocated. The information in Sections 304.1.1, 304.1.2 and 304.1.3 provides a summary of the General Principles. Refer to the *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards* for specific requirements.

In addition, Chapter 23—Adult Education and Literacy Programs, section 3 (5) highlights use of funding, in particular state funding:

23.3(5) State funding. Moneys received from state funding sources for adult education and literacy programs shall be used in the manner described in this subrule. All funds shall be used to expand services and improve the quality of adult education and literacy programs.

- a. *Use of funds.* State funding shall be expended on:
 1. Allowable uses pursuant to the Adult Education and Family Literacy Act, 20 U.S.C. Ch. 73, and subsequent federal workforce training and adult education legislation.
 2. High school equivalency testing and associated costs.
- b. *Restrictions.* In expending state funding, adult education and literacy programs shall adhere to the allowable use restrictions of the Adult Education and Family Literacy Act, 20 U.S.C. Ch. 73, and subsequent federal workforce training and adult education legislation, except for administrative cost restrictions.
- c. *Reporting.* All reporting for state funding shall adhere to a summary of financial transactions related to the adult education and literacy program's resources and expenses in a format prescribed by the department. Adult education and literacy programs shall submit quarterly reports to the department on dates to be set by the department. A year-end report shall be submitted to the department no later than October 1.

Reasonable and Necessary

Reasonable costs are consistent with prudent business practice and comparable to current market value. (Refer to the *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards*, §200.404) Necessary costs are essential to accomplish the objectives of the project. In general, the budget forms must demonstrate that:

1. Project costs are reasonable in relation to expected outcomes;
2. The amount requested might realistically be expected to have an impact on the stated needs;
3. The expected outcomes are sufficient to justify the amounts requested;
4. The program will identify and coordinate funding from several sources;
5. All expenditures are pertinent to and appropriate for the objectives and activities stated.
6. The cost is of a type generally recognized as ordinary and necessary for operation of the organization or grant performance;
7. Restrictions or requirements are imposed for generally accepted sound business practices, arms-length bargaining, federal/state laws and regulations, grant award terms, and conditions;
8. Individuals acted with prudence in the circumstances of responsibility to the organization, its members, employees, clients, the public, and federal government; and
9. There are no significant deviations from established practices of the organization that may unjustifiably increase grant costs.

Questions to ask in this section are:

- Is the expense targeted to valid programmatic or administrative functions?
- Does the program have the capacity to use what is purchased in the current program year?
- Did the program pay a fair rate and can it be proven?
- How would the program defend the purchase if questioned?
- Does the program really need this?
- What surplus property and/or existing resources does the program have at this point?
- Lease vs. purchase?
- Is the minimum amount required to meet the program needs?

Note: Excessive monies carried over to the fourth quarter should not be used to purchase supplies for the next program year.

Allowability of Costs

To be allowable, costs must meet the following criteria (Refer to the *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards*, §200.403):

1. Be reasonable for the performance of the grant and be allocable under the applicable cost principles,
2. Conform to limitations or exclusions set forth in applicable cost principles or the grant agreement as to types or amount of costs,
3. Be consistent with policies and procedures that apply uniformly to federally-funded activities and activities funded from other sources,
4. Be accorded consistent treatment among all grant programs, regardless of funding source,
5. Be determined in accordance with generally accepted accounting principles (GAAP),
6. If federal, not be included as cost or used to meet cost-sharing or matching requirements of any other federally-funded program in the current or a prior period.

Questions to ask in this section are:

- Is the cost reasonable for the performance of the grant?
- Is the cost allocable and charged proportionally to the said grant?
- Is the cost authorized and permitted by AEFLA, Uniform Grant Guidance, EDGAR and other state or local laws?
- Is the cost adequately documented?

Allocable Costs

A cost is allocable to a particular grant in accordance with the relative benefits received, if it is treated consistently with other costs incurred for the same purposes in like circumstances, and if it: (Refer to the *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards*, §200.405):

1. Is incurred specifically for the grant,
2. Benefits both the grant and other work and can be distributed in reasonable proportion to the benefits received,
3. Is not shifted to other federal awards to overcome funding deficiencies, or to avoid restrictions imposed by law or by the terms of the grant award,
4. Is allocated through direct or indirect cost,
5. Is permissible under state law.

Administrative and Indirect Costs

Pursuant to Section 233(a) of AEFLA, the local adult education and literacy program may budget administrative expenses for AEFLA-funded programs greater than the five percent when it is appropriate and reasonable, by negotiating with the Iowa Department of Education at the time of application. The negotiated change in percent must include a written request and justification for the higher rate. There is no guarantee of approval for higher rates once funding has begun and each request will be considered individually.

The administrative expense also includes any indirect costs that the adult education and literacy program charges to the grant. Indirect costs are costs that can be rationally attributed to the running of a program, but cannot reasonably be assigned a direct cost. Examples might include a receptionist's salary and communication costs. For end of year financial reporting it is important to be able to separate out the administrative costs with the instructional and professional development costs of the allocations.

A percentage of the state allocation for adult education and literacy can be used for administrative costs. While the policy of a capped percentage has not been established, programs are encouraged to focus on increasing and expanding services to the targeted population.

Expenditures

Eligible expenditures for actual program expenses may include wages, salaries, and fringe benefits; books, materials, and supplies; clerical services; rental of facilities that are not owned by the sponsoring agency; rental of equipment not owned by the sponsoring agency; training of volunteers and tutors; student support services; outreach and recruitment activities; membership dues for participation in organizations specifically focused on adult education; financing the costs of online services; and administrative costs.

The following limitations are in effect;

1. No more than 20 percent of the allocation shall be used to provide education to institutionalized adults;
2. Any **state** funds used for High School Equivalency Diploma testing-related activities including, but not limited to: testing, retesting, graduation ceremonies, testing staff (travel and salaries) including proctors and supervisors, testing vouchers, and scholarships cannot be counted for match funds;
3. At least 20 percent of an instructors/staff time might be used for professional development or training.

For additional information see [Iowa Fiscal Management Guidelines](#) and [FAQs for AEFLA Expenditures](#), both on the IDOE website. The coordinator should contact the Iowa Department of Education about any questionable expenditure.

Sub-Contractor Responsibilities

An agency may subcontract a portion of its grant to provide adult education and/or family literacy services. The agency must indicate their intent to the state and provide details on the entity(s) that will receive subcontracting funds and how much it will receive. Should the agency decide to discontinue the subcontracting relationship during the course of the grant cycle, it must contact their area consultant to explain how it plans to replace the services provided by the subcontractor. As the contractor for the grant:

1. The agency must have a written agreement in place with the subcontracting agency that includes a formal budget.
2. The agency is responsible for providing its subcontractor (s) with all pertinent adult education and literacy information.
3. The agency will notify the subcontracting agency (s) that subcontractors are required to adhere to **ALL** policies and guidelines that apply to state and federal funding. This includes providing high quality instruction and professional development for staff.
4. The agency is responsible for the performance of, and any violations of guidelines and policies by, the subcontractor (s).

Ineligible Use of Funds

Federal Adult Education and Family Literacy Act (Section 231 and 223) funds may not be used in the following cases: (This list is not comprehensive. For an explanation of all allowable expenses, refer to the *Uniform Administrative Requirements, Cost Principles, Audit Requirements for Federal Awards, Subpart E—Cost Principles*.)

1. To supplant other existing public or private funds currently used to provide Adult Education and/or Family Literacy services;
2. As funds that are commingled with other public or private funds, but may be used in conjunction with such funds;
3. For programs, activities, or services related to sectarian instruction or religious worship;
4. For awards to carry out programs by a for-profit agency, organization, or institution unless such agency, organization, or institution is part of a coalition that includes an local education agency or public or non-profit agency;
5. To pay bad debts or any losses arising from uncollectible accounts and other claims and related costs;
6. For contributions or donations;
7. To pay staff time to attend non-adult education related board or community service meetings;
8. To contribute to a contingency reserve or any similar provision for unforeseen events;
9. To pay for entertainment, costs of amusement, social activities, and incidental costs relating thereto, such as meals, beverages, lodging, rental transportation and gratuities. This does not apply to health and welfare costs used for the improvement of working conditions, employer-employee relations, employee morale, and employer performance; and meals or snacks used in conjunction with Family Literacy services, such as interactive literacy activities;
10. To pay for alcoholic beverages;
11. To pay fines, penalties, and costs resulting from the violation of or failure to comply with federal, state, and local laws and regulations;
12. To pay for the excess of cost over federal contribution under one grant agreement as a cost under other grant agreements;
13. To pay interest on borrowing (however represented), bond discounts, cost of financing and refinancing operations, and legal and professional fees paid in connection therewith;
14. To pay rental of space owned by the sponsoring agency;

15. To pay HSED testing fees;
16. To pay salaries and other expenses of local government bodies (such as boards of county commissioners, city councils, school boards, etc.) regardless of whether such expenses are incurred for purposes of legislation or executive direction; and
17. To purchase customized personal items. Specifically, funds may not be used to purchase items such as clothing, customized office supplies, and briefcases/portfolios. This item applies to both direct service agencies and state leadership programs. An agency that purchases such items without the review and approval of the Division of Adult Education will be deemed out of compliance.

Figure 27: Allowable Costs

Cost Item	Unallowable/Allowable with restrictions
Advertising and Public Relations	Allowable with restrictions
Alcoholic Beverages	Unallowable
Alumni Activities	Unallowable
Bad Debt	Unallowable
Entertainment	Unallowable
Capital Expenditures	Unallowable
Commencements, Graduation Ceremonies	Unallowable
Cost of institution furnished automobiles that relate to personal use by employees	Unallowable
Costs for defense and prosecution of criminal or civil proceedings, claims, appeals	Unallowable
Donations and Contributions	Unallowable
Drug Testing	Unallowable
Fines and Penalties	Unallowable
Fund Raising, Solicitations, Gifts or Investment costs	Unallowable
HSED Administration, Test Fees	Unallowable
Goods and Services for Personal Use	Unallowable
Housing and Personal Living Expenses	Unallowable
Lobbying	Unallowable
Meals for Meetings /Conferences	Allowable with restrictions
Meetings and Conferences	Allowable with restrictions
Pension Plans	Allowable with restrictions
Rent of Building/Equipment	Allowable with restrictions
Scholarships and Student Aid Costs	Unallowable
Selling and Marketing	Unallowable
Training and Education	Allowable with restrictions
Travel Costs	Allowable with restrictions

Program Income

Adult education and literacy programs may collect tuition monies and/or fees. Tuition monies or fees collected must be reasonable and necessary and must not deter access to services. In light of the state allocated funds in PY 2015, fees should be minimized as a barrier for adult learners and serve more as a persistence and retention effort by the local programs to incentivize and reward. Such fees, if not refunded through the course of the program year, is regarded as program income, and must be tracked and expended carefully. Program income represents the "gross income received by the grant recipient or sub-recipient directly generated by a grant supported activity or earned as a result of the grant agreement during the grant period." All fees collected must benefit the AEFLA program; to provide additional adult education and literacy services that the program would otherwise be unable to provide (AEFLA section 202). Fees cannot be commingled with other funds to purchase non-AEFLA-related items or provide non-AEFLA services.

Program income must be used and reported by the coordinator in the [Adult Education Financial Report](#) for end of year reporting. Income must be separated according to AEFLA generated income and EL/Civics generated income. All income collected must be expended directly for the purposes of the AEFLA program.

Matching Requirements

Programs must provide a 25 percent match against the federal funds. The match may be made as either (1) in-kind contributions, (2) cash, or (3) a combination of the two. The match may exceed 25 percent but may not be less than 25 percent. **The matching requirement may not be met by using other federal funds the applicant may receive.** Likewise, local funds reported as match against the federal AEFLA funds may not be used to match another federal grant.

Maintenance of Effort (MOE)

A factor that affects the local match required is the federal maintenance of effort requirement. Each eligible applicant will be required in subsequent years to provide local matching funds that meet or exceed the previous year's match total. Applicants may shift the percentage of each type of match (cash or in-kind) from year to year, but they may not reduce the total amount of match reported.

Allowable Matching Funds

Matching funds may be cash or in-kind contributions (non-federal funds) by the eligible applicant. The local match does not have to be identified within each object code or line item of the requested federal funds. Match may occur in one object code, such as personal services, or across the various object codes. Match may be claimed in a single quarter or multiple quarters during the grant period.

Special Considerations

- All expenditures identified as local match must be for the direct support of the program activity.
- When applicable, documentation must be maintained and is required to identify the percent of support converted to a dollar amount. Common instances of this requirement include salaries and utilities.
- Volunteer hours may be reported as match. To report such hours as match, the cash value of volunteer services per hour must be substantiated, and that value reported as in-kind.

Indirect Cost

Pursuant to § 76.564 **Restricted indirect cost rate formula.**

- (c) Under the programs covered by §76.563, a subgrantee of an agency of a State or a local government (as those terms are defined in 34 CFR 80.3) or a grantee subject to 34 CFR 75.563 that is not a State or local government agency may use
- (1) An indirect cost rate computed under paragraph (a) of this section; or
 - (2) An indirect cost rate of eight percent unless the Secretary determines that the subgrantee or grantee would have a lower rate under paragraph (a) of this section.

Eligible applicants may budget for indirect cost. If indirect cost is claimed, it must be identified by line item under the 602-Other Expenses and Obligations expenditure category. The amount claimed for indirect costs is an Administrative Cost expenditure. **Applicants that identify indirect cost may not claim overhead costs (e.g., rent, utilities, common area maintenance) against the AEFLA funding.**

Supplement versus Supplanting

All adult education and literacy funds are meant to supplement one another to provide increased services to adult learners most in need. This is in accordance to Section 241 of Title II of the WIOA of 2014. In fiscal terms, supplement means to increase the level of funds made available, while supplant means to take the place of. If funds are being used to cover the services or wages of a program that previously was funded from state or local funds then this would not be seen as an increase. As this issue is very case specific questions should be directed to the IDOE for additional guidance.

Retention of Records

Each grantee shall keep accessible and intact records that support all claims for the project funds relating to the accountability and expenditure of funds for a period of **five years** after the submission of the final expenditure report or until all audits are complete and findings on all claims have been completely resolved, whichever is later. Such records include but are not limited to individual student files, attendance records, staff records, and fiscal records that document information reported to the Commonwealth through data and fiscal reporting systems.

Coordinator Responsibility

While many programs might have a fiscal agent responsible for generating the claims, it is the coordinator as the subject matter expert for adult education and literacy services that is ultimately accountable for the use of the funds. Each program has indicated compliance with specific fiscal assurances through the grant application. It is the responsibility of the coordinator to have some knowledge concerning the laws and regulations highlighted in this section and further expanded in the related OMB Circular(s). In addition, the coordinator's responsibilities includes ensuring the timely submission of amendments, claims and status updates which allows for program changes which might impact the planned use of funds. Fiscal monitoring is included in the annual site and desktop reviews conducted by the IDOE. Coordinators will be included in receiving the allocation letters and any correspondence that might impact financial awarding of the grants.

SECTION VII: PROFESSIONAL DEVELOPMENT SYSTEM

<u>High Quality Professional Development</u>	<u>97</u>
Individual Professional Development Plan	98
Tracking Professional Development Hours	99
New Instructor Training	99
Exceptions	99
Classroom Observations	100
Professional Development Standards	100
<u>State Leadership Funds</u>	<u>101</u>
Professional Development Calendar	101
Resources/Requests	101
Iowa Literacy Leadership Committee	101
Local Level Professional Development	102

High Quality Professional Development

Effective and quality instruction is an essential part of providing an exemplary educational program. Research shows that instructors are by far the most important factor in determining whether students succeed. So, where there are highly effective instructors, quality instruction follows.

These educators are passionate about actively engaging students and meeting them wherever they are on their learning journey. While the art and science of quality instruction may be more than the sum of its parts, some instructional building blocks are essential for it to occur. This document is designed to provide standards for Iowa's adult education and literacy instructors as guidance to promote adult students' success along their path toward college and career readiness.

Highly effective instructors who have mastered the art and science of quality instruction don't exist in isolation. They don't close their classroom doors and quietly figure it out all by themselves. They collaborate with other professionals in their program and in the educational community at large. They participate in personal learning networks (communities of practice) and consult them to get new ideas and feedback about their struggles and successes. They engage in professional reading of current research to improve and expand their repertoire of skills. When they discover an amazing instructional combination or resource, they share it with other instructors and in online environments (Ferguson, 2010; U.S. Department of Education, 2010).

As an Adult Education and Literacy (AEL) instructor you will:

- Assist adults to become literate and obtain the knowledge and skills necessary for employment and self-sufficiency;
- Assist adults who are parents to obtain the educational skills necessary to become full partners in the educational development of their children;
- Assist adults in the completion of a secondary school education; and
- Assist adults to prepare for college and/ or career pathways.

To assist instructors in becoming highly effective, administrative rules were adopted (Chapter 23—Adult Education and Literacy Programs) and became effective July 1, 2015.

281—23.7(260C) High-quality professional development.

23.7(1) Responsibility of program. Adult education and literacy programs shall be responsible for providing professional development opportunities for professional and volunteer staff, including:

- a. Proper procedures for the administration and reporting of data pursuant to rule 281—23.8(260C);
- b. The development and dissemination of instructional and programmatic practices based on the most rigorous and scientifically valid research available; and
- c. Appropriate reading, writing, speaking, mathematics, English language acquisition, distance education, and staff training practices aligned with content standards for adult education.

This section outlines certain responsibility of the program to assist instructors to:

- a. Acquire knowledge, skills, approaches, and dispositions;
- b. Explore new or advanced understandings of content, theory, and resources; and
- c. Develop new insights into theory and its application to improve the effectiveness of current practice and lead to professional growth.

The professional development system is an ongoing continuous improvement cycle. Through the system, strengths and weaknesses are identified on an individual and more importantly on a program/state wide scale. This identification allows for the best use of limited resources to address the greatest needs.

Figure 28: Professional Development Continuous Quality Improvement Model



Individual Professional Development Plan

The goal of professional development is quality programming and improved services to students. Effective professional development involves ongoing commitment to keeping knowledge, skills, and abilities relevant and up to date. Informed by research, professional wisdom, and data, participants realize the potential of learning communities while focusing on teaching and learning. Effective professional development is ongoing, job-embedded, integrated into organizational goals, and supported by the organizational structure. Creating a plan for individual professional development is a way to link program's performance to quality instruction. Because they support professional quality, individual professional development plans (IPDPs) are integrated into the Iowa Adult Education and Literacy professional development system. All staff are required to have a current IPDP.

Samples of an IPDP are included in the Appendix. While it is the intent to create a method for reporting this information in a timely manner to the state, the plans will be monitored and could be included in the mid-year status report. Regardless of current method of collecting the plan, all plans should include these four common elements:

1. Self-reflection
2. Goals
3. Strategies/resources for each goal
4. Timeline for each goal

In addition, as cited in Chapter 23—Adult Education and Literacy Programs, further guidance on the development and implementation of IPDPs is provided:

23.7(5) *Individual professional development plan.* Adult education and literacy programs shall develop and maintain a plan for hiring and developing quality professional staff that includes all of the following:

- a. An implementation schedule for the plan.
- b. Orientation for new professional staff.
- c. Continuing professional development for professional staff.
- d. Procedures for accurate record keeping and documentation for plan monitoring.
- e. Specific activities to ensure that professional staff attain and demonstrate instructional competencies and knowledge in related adult education and literacy fields.
- f. Procedures for collection and maintenance of records demonstrating that each staff member has attained or documented progress toward attaining minimal competencies.
- g. Provision that all professional staff will be included in the plan. The plan requirements may be differentiated for each type of employee.

Tracking Professional Development Hours

To ensure that professional staff are receiving not only relevant training and professional development associated with their duties, it is important to track those hours. As indicated by Chapter 23, it is the expectation that all should receive a minimum of 12 hours of professional development annually from July 1 to June 30, to align with the program year and funding. Without a current statewide system in place to track or help monitor this, it is the responsibility of each program to track and report back to the state the fulfillment of this requirement.

23.7(4) *Provision of professional development.* Adult education and literacy program staff shall participate in professional development activities that are related to their job duties and improve the quality of the adult education and literacy program with which the staff is associated. All professional development activities shall be in accordance with the published Iowa Adult Education Professional Development Standards.

- a. All professional staff shall receive at least 12 clock hours of professional development annually. Professional staff who possess a valid Iowa teacher certificate are exempt from this requirement.
- b. All professional staff new to adult education shall receive 6 clock hours of preservice professional development prior to, but no later than, one month after starting employment with an adult education program. Preservice professional development may apply toward the professional development requirements of paragraph 23.7(4) “a.”
- c. Volunteer staff shall receive 50 percent of the professional development required in paragraphs 23.7(4) “a” and 23.7(4) “b.”

New Instructor Training

As noted in 23.7(4)(b), all new professional staff are required to have an additional six hours of professional development relevant to their role and responsibility. An example for an instructional staff could include such professional development on “Motivating the Adult Learner;” “Teaching a Multilevel Classroom;” “Using Adaptive Learning in the Adult Education Classroom;” and “Blended Learning in Adult Education”.

Exceptions

As noted in 23.7(4)(a) there is an exception to the required twelve hours of annual professional development for professional staff, if that staff holds a valid Iowa teacher certificate. In addition, all requirements for professional development is reduced by 50 percent for volunteer staff.

Classroom Observations

With the implementation of College and Career Readiness Standards in the classroom, it will be important for instructors to assess their own performance in providing quality instruction and services to adult students. The use of a classroom observation tool that is aligned to using content standards, technology and [instructor standards](#) will provide program administrators with a framework for what adult education and literacy instructors should know and be able to demonstrate. By completing a self-assessment, instructors can identify their strengths, as well as areas needing improvement. This is meant to furnish the data to make informed decisions in providing professional development activities and personal exploration. This process will help to ensure well-qualified professional staff capable of meeting the diverse needs of adult students.

A self-assessment or observation done by a peer/lead instructor or administrator used with these standards should be a non-threatening tool for the professional staff's use. Additionally, the results may be used to complete a professional development plan that the instructor submits to the local administrator. This can provide an element in planning individual and program-wide professional development activities that respond to instructor needs. The classroom observation tool is not intended to be utilized as a form of formative evaluation for instructors. If a paper based version is being used, these should be maintained to demonstrate upon monitoring that a sufficient percentage of professional staff have completed within a program year.

Annually, a local program should ensure that instructional staff complete a self-assessment along with their individual professional development plan and look for alignment. This helps to ensure that the required professional development hours received are targeted to identified needs.

Professional Development Standards

Professional development is meaningful only when strategies and concepts are learned and transferred into actual practice. To better measure this learning transfer, funded programs are responsible for ensuring that all professional development follows the state adopted standards, effective November 1, 2012. The purpose behind the standards is to ensure that programs:

- can show how their practice is informed by research (particularly scientifically based research and professional wisdom),
- have a continual emphasis on quality instruction as it leads to student success, and
- have quality professional development driving quality instruction.

In addition the standards have been cited in Chapter 23—Adult Education and Literacy Programs.

23.7(3) Professional development standards. The department and entities providing adult education and literacy programs shall promote effective professional development and foster continuous instructional improvement. Professional development shall incorporate the following standards:

- a. Strengthens professional and volunteer staff knowledge and application of content areas, instructional strategies, and assessment strategies based on research;
- b. Prepares and supports professional and volunteer staff in creating supportive environments that help adult learners reach realistic goals;
- c. Uses data to drive professional development priorities, analyze effectiveness, and help sustain continuous improvement for adult education and literacy programs and learners;
- d. Uses a variety of strategies to guide adult education and literacy program improvement and initiatives;
- e. Enhances abilities of professional and volunteer staff to evaluate and apply current research, theory, evidence-based practices, and professional wisdom;
- f. Models or incorporates theories of adult learning and development; and
- g. Fosters adult education and literacy program, community, and state level collaboration.

State Leadership Funds

Section 222(a)(2) of the WIOA references 12.5 percent of the grant funds available for four required activities and one or more of the thirteen (13) State Leadership activities. The activities, programs, and projects supported with State Leadership funds have been aligned with those criteria as indicated. State Leadership funds provide various opportunities for education and staffing professional development needs, both at the state and local levels.

Additionally, state leadership funds have been allocated to local programs to encourage participation in professional development activities. Unlike in previous years, state leadership allocations are to be used exclusively in support of state level targeted professional development. Local programs describe specific plans in their applications on Iowagrants and submit claims quarterly for reimbursement. The program is held accountable for its professional development of well-trained professional staff and volunteers.

Professional Development Calendar

Currently, the state utilizes an online calendar document with links for registration information for all state sponsored professional development. This is an active document that is updated as needed. It is the responsibility of the local funded program to ensure appropriate professional staff are informed and register in a timely manner for relevant professional development that were committed to in their application. The consultant responsible for the training will be listed as the contact to address any questions or concerns. Each professional development event will include an evaluation form, to help capture feedback.

Requests/Resources

In addition to the scheduled professional development, local funded programs may request technical assistance or training by completing the [Request for State Technical Assistance/Training for AEL Personnel](#). There is no cost if the state provides the training. If the requested training will require a subject matter expert, a cost sharing agreement might be negotiated with additional program partnerships.

Resources for professional development opportunities or previous trainings are available on wiggio if copyright law allows. Additional resources are available through the IDOE website, [Resources and Links](#).

Iowa Adult Literacy Leadership Committee

The [Iowa Adult Literacy Leadership's](#) mission is to provide quality support, resources, and training that will directly meet the professional needs of adult education instructors and staff. To accomplish that task several purposes have been identified:

- Function as an overall planning group for state staff development activities.
- Maintain the high quality and flexibility of staff development activities.
- Create staff development activities that are learner centered.
- Facilitate and implement online and other alternative delivery modes for professional development.
- Expand opportunities for state staff development.
- Recognize and serve the different interests of the various programs and adult learning theories and practices.
- Support and utilize a common data base that maintains the system, which impacts students and AEL staff learning needs and goals.
- Continue to build and design curriculum based upon research and input from all partners.

This committee has been instrumental in the development of a standards based professional development system.

The future involvement of the committee will be formalized through the establishment of an Iowa Literacy Council. This council will be established as a separate entity under a protected 501c3 status with committees aimed at specific literacy needs in the state along with a dedicated professional development committee.

Local Level Professional Development

Funds for all local programs from state leadership will be insufficient to meet the needs of the professional staff. Addition funds from state and local match can and should be used for professional development activities that support the local funded program's needs. As in the case of the state English as a Second Language grant application, details describing key elements of professional development should be recorded, such as:

- the category and delivery method of professional development;
- a detailed activity plan;
- identifying what is driving the professional development – teacher, student, state;
- how the professional development offered will be evaluated;
- implementation strategy;
- professional development standard alignment;
- timeline for delivery; and
- estimated budget.

Funds used to support additional professional development activities will be captured and reported in the [State Funding Report](#).

SECTION VIII: PUBLIC AWARENESS AND COMMUNICATION

<u>State Public Awareness Campaign</u>	<u>104</u>
Student Awareness	104
Style Guide	104
Publications	107
<u>Communications</u>	<u>108</u>
Email	108
Zoom Meetings	108
Wiggio	108
Newsletters	108
.	
.	

State Public Awareness Campaign

The Adult Education and Literacy (AEL) brand is a subset of the State of Iowa and the Iowa Department of Education brand. Consistent application and precise production of logos and branding standards will identify and reinforce public awareness of AEL within Iowa's education system and will make local AEL programs more recognizable and uniform across the state. The state public awareness campaign launched in 2015 is a resource for preparation of AEL-funded documents and publications.

Student Awareness

Part of the 2015 campaign addressed the need to centralize information for students to find and locate an AEL center and services. A 1-800 hotline was established that routes all callers by zip code to their closest AEL funded program. These calls are expected to help track and appropriately route inquiries. Each funded program was able to select their number to have the calls routed to. It is the responsibility of each funded program to monitor calls received and make corrective actions if messages or returned calls are not being routed correctly or handled in a timely manner. Monthly reports of calls logged will be collected by the state to determine effectiveness and impact on enrollment. All recruitment pieces, in addition to customizing, should have this hotline posted—1-800-316-6850, prominently.

In addition to a hotline service, the campaign also launched a landing webpage for students to access “universal” information on Iowa's AEL along with resources related to services. These services include information on digital literacy, the high school equivalency testing and the ability based on zip code to locate the closest service provider. This webpage: www.yourfuturestartshereiowa.com is a shared responsibility between the state and the local programs to ensure correct information is being shared to the public. While the state will maintain and update the site, if any services related to a local program or service location changes, the state will need to be notified. Web analytics will be used to track usage and routing of users with the intent that the landing page is creating additional referrals to AEL programs. This webpage should be utilized in all recruitment and ads for AEL funded programs.

Style Guide

With a brand that represents the values, services, ideas and personality of an program designed to increase recognition and build perceptions, it is important to protect that through the use of a style guide. Elements such as logos and supporting graphics, color palette, typography and photography choices are covered in this guide. The guide will also ensure that the brand is correctly represented across all visual media in various situations.

The Logo

The logo was designed to be modern and future-proof, the logo uses bold colors to make a statement regarding action and to convey the start of a new beginning.

When displaying the logo, be aware of the need to factor in an **exclusion zone**. The minimum exclusion zone margin for the AEL logo is based on the dimensions of the central circle in the logo graphic. With all logos, a clear-space of the one circle must be maintained on all sides. When using background color behind the logo, it must extend to a minimum of the same dimensions as one circle on all sides.

No element should encroach on this space.

Figure 21: AEL Logo



The variations of the logo that are acceptable for use in marketing and communications material can be found below. These variations should only be used when specifically requested. Condensing, extending, distorting, manipulating, modifying or redrawing the logo in any way is unacceptable.

Grayscale



Spanish



Colors

The color palette includes a vibrant theme with supporting tones. Included are the references for CMYK, RGB and HEX. Where the possible, the logo should be reproduced in the CMYK color process.



cmyk
rgb
hex #

8 : 0 : 79 : 0
242 : 238 : 83
F2EE53



cmyk
rgb
hex #

84 : 35 : 51 : 11
31 : 122 : 122
1F7A7A



cmyk
rgb
hex #

73 : 1 : 27 : 0
0 : 185 : 194
00B9C2



cmyk
rgb
hex #

43 : 0 : 62 : 26
107 : 188 : 71
6BBC47

Typography

The AEL primarily uses two typefaces. Calibri is used primarily for display and headline copy, while Helvetica is used primarily for text and web context. Both can be purchased at www.adobe.com or from other online typeface vendors.

Artwork and or Photographs

Every image used digitally and in print contributes to the way the message for AEL in Iowa is perceived. The artwork or photograph should focus on creating connections with the message. The photo style should represent diversity in age and ethnicity. Images of individuals appearing to be under the age of twenty four should not be used.

Newsletter

Heading 1	Calibri Upper & Small Caps	28 pt	Regular
Heading 2	Calibri Uppercase	70 pt	WordArt
Article Title	Calibri Uppercase & Lowercase	22 pt	Bold
Body Text	Helvetica Sentence Case	12 pt	Medium
Sidebar Text	Helvetica Sentence Case	14 pt	Medium

e-Newsletter

Featured Title	Calibri Uppercase & Lowercase	16 pt	Bold
Article Title	Calibri Uppercase & Lowercase	14 pt	Bold
Body Text	Helvetica Sentence Case	12 pt	Regular
Footer	Helvetica Uppercase & Lowercase	12 pt	Regular

Website

Header 1	Helvetica Uppercase & Lowercase	38 pt	Light
Header 2	Helvetica Uppercase & Lowercase	24 pt	Bold
Body Text	Helvetica Sentence Case	16 pt	Regular



Publications

The following publications and materials are available for programs to use in their communities. All materials are posted on the IDOE website under [Program Information](#) for Adult Education and Literacy. If additional quality or size is needed, please contact Capture Marketing, care of Natalie Battles 515-471-1967 or Natalie@capturemarketinggroup.com.

Both a vertical and horizontal ad have been created. In addition, a customizable brochure has been developed that is ideal for co-branding. A pass along business size card that can be printed with one side in English and the other in Spanish is available for downloading.

The published video has also been posted to the IDOE website and is available for download. This video will be available in the segmented vignettes highlighting each Iowan. It is the intent that the video will relate to a wide audience from potential participants to stakeholders and legislators and should be used appropriately without additional editing.

EARN YOUR HIGH SCHOOL EQUIVALENCY DIPLOMA



Continue your education or start your career!

START TODAY!

To find your local program:
Call 1-800-316-6850 or visit our website
www.yourfuturestartshereiowa.com



EARN YOUR HIGH SCHOOL EQUIVALENCY DIPLOMA

Continue your education or start your career!



To find your local program:
Call 1-800-316-6850
or visit
www.yourfuturestartshereiowa.com

EARN YOUR HIGH SCHOOL EQUIVALENCY DIPLOMA

Continue your education or start your career!



To find your local program:
Call 1-800-316-6850 or visit www.yourfuturestartshereiowa.com



Communications

Communication between the state and funded programs is critical. While this is not a communication plan, this section will discuss key channels for communication between the state and funded programs. Consultants assigned to your region are the first point of contact with general questions. However, subject specific questions might be better handled based on the consultant's area of responsibility.

Email

Email will remain the primary method of communicating initial announcements to the local programs. Often times this email might be time sensitive and will require action. Programs should ensure that they mailboxes are set to receive messages with sufficient space to reduce undeliverable messages. Programs that have emailed with a consultant and has not received a response back, be sure to email a follow up and copy the state director for follow up.

Zoom Meetings

Efforts are made to reduce the need to travel through the implementation of web conferencing. While this tool is very effective in sharing information in a concise manner while allowing screen sharing, chat and recording features there are limitations. While this information download can be the most effective way to share, it does not build relationships or allow the best method to ensure that information has been received and processed. While Zoom has been the selected product of the state to use for web conferencing the funded program must ensure that the software is downloaded (<https://www.zoom.us/>) and suitable headphones or access to a phone is provided. Participation is needed to make this channel of communication effective. Additional web conferencing can be requested to address technical assistance issues where screen sharing and the ability to walk through the issue is provided. There will be times when a face to face meeting is preferred.

Wiggio

The wiggio platform serves as a method to share threaded discussions as well as key documents or resources that can be used or might be referenced frequently. What is posted on wiggio—in particular the adult education coordinator page—is meant to supplement information that has already been shared with programs. The platform allows for group discussion and to keep those threaded comments without getting lost in email inboxes. Initial announcements will not be posted on wiggio, but the zoom meeting recordings will be posted when available along with minutes from meetings.

Newsletters

Periodically, a newsletter or fact sheet utilizing the style guide will be released by the state AEL to funded programs. This channel of communication will be used to provide information and ideas to our programs and to stakeholders that share interest. The newsletter will typically be one to four pages in length. The intent will be:

- To keep the public informed.
- To educate all readers about issues and ideas.
- To build cohesion and a sense of pride.
- To spark new interest in, and increase recognition of services and best practices.
- To offer a format for information exchange that doesn't currently exist.
- To maximize information sharing.

LIST OF FIGURES

Regional Areas	8
Service Areas	11
Core Indicators of Performance and Outcome Measures	12
Coordinator Roles	13
Iowagrants Login	16
Iowagrants Main Menu	17
AEFLA Budget Codes	26
Technology Budget Codes	26
Information Management Budget Codes	26
Professional Development Budget Code	27
Integrating EL/Civics Budget Codes	27
Create a Claim	29
Create an Amendment	30
Three Types of Status Reports	31
Adult Education and Literacy Pipeline Strategies	38
CTE Employability Skills Framework	42
CLASP Career Pathway System	45
Student Experience Model	55
Goal Setting—A Collaborative Process	59
Adult Education and Literacy System	63
Example Alignment Tool—Distance Education	66
Effective and Efficient Teaching	67
Sixteen Elements of Explicit Instruction	68
Instructional Processes	71
Designing a Lesson Plan	72
Workplace Education Model	75
Allowable Costs	93
Professional Development Continuous Quality Improvement Model	98

APPENDICES

<u>IPTV Spotlight Information</u>	111
<u>Annual Timeline</u>	112
<u>Commonly Used Acronyms</u>	113
<u>PY 2016 Coordinator Contacts</u>	114
<u>PY 2016 Chief Examiners</u>	115
<u>Checklist for Student Orientation and Intake</u>	116
<u>Student Interim Needs Assessment Survey</u>	117
<u>Request for State Technical Assistance/Training for AEL Personnel</u>	118
<u><i>Personal Confidentiality Statement (Example)</i></u>	119
<u>FERPA Facts</u>	121
<u>Individual Professional Development Plan (IPDP)</u>	122
<u>State Monitoring Tool PY16</u>	125
<u>Fair Use Factors Checklist</u>	128
<u>Observation Toolkit</u>	129
<u>Factsheet: Adult Basic Education and Literacy Program Overview</u>	136
<u>Student Need Form</u>	138
<u>Student Consent and Waiver Form</u>	139
<u>SAMPLE Referral Form for AEL Services</u>	140

IPTV Spotlight Information

The Iowa Public Television continues to host [Spotlights](#) as partners to increasing Adult Education and Literacy awareness in Iowa. The articles for the spotlight are written and submitted annually in January, coordinators should ensure that the information is current and informative and includes the following information:

1. A brief descriptor of your program. What services do you offer?
2. The reach of your program and services offered. Counties, who uses your services?, etc.
3. A "for more information" closing paragraph that contains a link to your center.

Keep the article brief and use it as a public awareness to the information for your main site. In addition the article can include a recent picture.

Please forward this information and any questions to:

LASHELL STALEY
PROJECT MANAGER, EDUCATION
IOWA PUBLIC TELEVISION
6450 CORPORATE DRIVE
JOHNSTON, IA 50131
800-532-1290
515-725-9725
LASHELL@IPTV.ORG

Annual Timeline

JULY – AUGUST**3RD THURSDAY OF EVERY MONTH - COORDINATOR CALL**

ALLOCATION AMOUNTS DETERMINED
AEFLA GRANT IS AWARDED
ESL STATE GRANT APPLICATION DUE
NEW COORDINATOR/NEW INSTRUCTOR TRAINING

SEPTEMBER – OCTOBER

1ST QUARTER REIMBURSEMENT CLAIMS DUE
ADULT EDUCATION FINANCIAL REPORT DUE
STATE FINANCIAL REPORT DUE
YEAR END DATA RELEASED TO FIELD
FALL RFA'S DUE

NOVEMBER – DECEMBER

GEDTS SHIPS SECURE TESTING MATERIALS
ANNUAL REPORT DUE TO OCTAE (NRS TABLES, DATA QUALITY CHECKLIST, FINANCIAL REPORT AND NARRATIVE-IDOE)

JANUARY – FEBRUARY

AEFLA GRANT STATUS UPDATE DUE
HiSET® TEST ADMINISTRATION LAUNCHES
2ND QUARTER REIMBURSEMENTS CLAIMS DUE
ANNUAL REPORT PREPARED (IDOE)
STATE BOARD PRESENTATION (IDOE)

MARCH – APRIL

3RD QUARTER REIMBURSEMENTS CLAIMS DUE
NEGOTIATE PERFORMANCE BENCHMARKS WITH OCTAE
STATE PLAN EXTENSION DUE
FUNDING ALLOCATION DETERMINED & SHARED WITH FIELD (IDOE)

MAY – JUNE

LOCAL PLAN EXTENSION IS DUE
4TH QUARTER REIMBURSEMENTS CLAIMS DUE

JULY

ALL REQUESTS FOR REIMBURSEMENTS DUE
ESL STATE APPLICATION IS DUE
AEL ANNUAL CONFERENCE

Commonly Used Acronyms

ADA	Americans with Disabilities Act (federal legislation)	HiSET®	ETS High School Equivalency Assessment
ADD	Attention Deficit Disorder	HSED	High School Equivalency Diploma
ADHD	Attention Deficit Hyperactivity Disorder	IDEA	Individuals with Disabilities Education Act (federal legislation)
AEL	Adult Education and Literacy	KeyTrain	WorkKeys preparation software
CAELA	Center for Adult English Language Acquisition	L&W	Life and Work (CASAS test) LEA
CAI	Computer Assisted Instruction	LD	Local Educational Agency
CASAS	Comprehensive Adult Student Assessment System (AEL and ESL standardized tests)	LEA	Local Educational Agency
CBE	Competency Based Education	LINCS	Literacy Information Communication System (national online resources)
CBT	Computer-Based Testing	LEP	Limited English Proficient
CCRS	College and Career Readiness Standards	ME	Managed Enrollment
CCSS	Common Core State Standards	MIS	Management Information Service (computerized system for tracking information)
CBO	Community Based Organization	NALS	National Adult Literacy Survey NCAL
CIMS	Continuous Improvement Monitoring System	NCSALL	National Center on Adult Literacy
COABE	Commission on Adult Basic Education (national professional organization)	NRS	National Center for the Study of Adult Learning and Literacy
CTE	Career and Technical Education	OPT	National Reporting System
DAEL	Division of Adult Education and Literacy (federal agency at the US DOE)	OVAE	Official Practice Test
DE	Iowa Department of Education	PD	Office of Vocational and Adult Education (federal US DOE)
DE	Distance Education	PV	Professional Development
DOK	Depth of Knowledge (scale for determining cognitive complexity)	ProLiteracy	Pearson-Vue testing and products
DMR	Desktop Monitoring Report	TA	Non-profit International Literacy Organization
DRS	Division of Vocational Rehabilitation Services (Voc Rehab)	TANF	Technical Assistance
EFL	Educational Functioning Level (federal NRS level)	TE	Temporary Assistance for Needy Families (welfare program)
ELL	English Language Learner	TESOL	Tops Enterprise
ESL	English as a Second Language	TOEFL	Teachers of English for Speakers of Other Languages (professional organization)
ESOL	English for Speakers of Other Languages	WIA	Test of English as a Foreign Language (ESL standardized test used for college entry)
ETS	Educational Testing Service	WIN	Workforce Investment Act of 1998 (federal legislation)
GED®	GEDTS High school equivalency test	WorkKeys®	Workforce Investment Board
			Career readiness courseware
			Standardized job skills assessment

PY 2016 Coordinator Contacts

Area	Coordinators	Address	Phone Number	Email
1	Gisella Aitken-Shadle	Dubuque Center for Education 700 Main Street Dubuque, IA 52001	(563) 557-8271 x108	aitken-shadleg@nicc.edu
2	Sandra Leake	North Iowa Area Community College 500 College Drive Mason City, IA 50401	(641) 422-4176	LEAKESAN@niacc.edu
3	Lisa Washington	Iowa Lakes Community College 3200 College Drive Emmetsburg, IA 50536	(712) 852-5257	lwashington@iowalakes.edu
4	Sara Breems-Diekevers	Northwest Iowa Community College 603 West Park St. Sheldon, IA 51201-1046	(712) 324-5061	sbreems-diekevers@nwicc.edu
5	Ann Waynar	Iowa Central Community College One Triton Circle Fort Dodge, IA 50501	(515) 576-0099 ext. 2319	waynar@iowacentral.edu
6	Jennifer Wilson	Marshalltown Community College Iowa Valley Continuing Education 3702 S. Center St. Marshalltown, IA 50158	(641) 754-1348	Jennifer.Wilson@iavalley.edu
7	Sandy Jensen	Hawkeye Community College Metro Center 844 W. 4th St. Waterloo, IA 50702	(319) 234-5745	sjensen@hawkeyecollege.edu
9	Scott Schneider	West Davenport Center 2950 N. Fairmount St. Davenport, IA 52804	(563) 326-5319	sjschneider@eicc.edu
10	Marcel Kielkucki	6301 Kirkwood Blvd SW Kirkwood Center for Lifelong Learning Cedar Rapids, IA 52403	(319) 784-1513	mkielku@kirkwood.edu
11	Hollie Coon Alexis Cade	DMACC Southridge Center 1111 E Army Post Rd Des Moines, IA 50315	(515) 287-8701	hlcoon@dmacc.edudu ancade@dmacc.edu
12	Lily Bonilla Pam Woolridge	Western Iowa Tech Community College 4647 Stone Ave. Sioux City, IA 51106	(712) 274-8733 x1492 (712) 274-8733 x1854	Lily.bonilla@witcc.edu pamela.woolridge@witcc.edu
13	Terri Amaral	IWCC Adult Learning Center 300 W. Broadway, Ste. 12 Council Bluffs, IA 51503	(712) 325-3267	tamaral@iwcc.edu
14	Darla Helm	Southwestern Community College 1501 W Townline St. Creston, IA 50801	(641) 782-1497	dhelm@swcciowa.edu
15	Noel Gordon	Indian Hills Community College Community Ed. Center 15260 Truman Street, Suite #2 Otumwa, IA 52501	(641) 683-5181	noel.gorden@indianhills.edu
16	Elizabeth Campbell	Southeastern Community College 1500 W. Agency RD West Burlington, IA 50265	(319) 208-5317	ecampbell@scciowa.edu

PY 2016 Chief Examiner Contacts

	Coordinators	Address	Phone Number	Email
1	Karen Davidson	Calmar Campus, P.O. Box 400 1625 Hwy 150 South Calmar, IA 52132	(563) 562-3263 x257	davidsok@nicc.edu
2	Sandra Leake	500 College Drive Mason City, IA 50401	(641) 422-4176	leakesan@niacc.edu
3	Lois Thelen	300 South 18 th Street Estherville, IA 51334	(712) 362-5317	lthelen@iowalakes.edu
4	Sarah Breems-Diekevers	603 West Park Street Sheldon, IA 51201-1046	(800) 352-4907 x137	sbreems-diekevers@nwicc.edu
5	Ann Waynar	One Triton Circle Fort Dodge, IA 50501	(515) 576-0099 x2319	waynar@iowacentral.edu
6	Jennifer Wilson	Iowa Valley Continuing Education 3702 S. Center Street Marshalltown, IA 50158	(641) 754-1348	Jennifer.Wilson@iavalley.edu
7	Larry Millang	Metro Center 844 West 4th Street Waterloo, IA 50702	(319) 234-5745	larry.millang@hawkeyecollege.edu
9	Scott Schneider	West Davenport Center 6950 North Fairmount Street Davenport, IA 52804	(563) 328-7682	sjschneider@eicc.edu
10	Amy Troendle	Kirkwood Center for Lifelong Learning 6301 Kirkwood Blvd. SW Cedar Rapids, IA 52404	(319) 784-1511	amy.troendle@kirkwood.edu
11	Hollie Coon	DMAcc Southridge Center 1111 E. Army Post Road Des Moines, IA 50315	(515) 287-8701	hlcoon@dmacc.edu
12	Lily Bonilla	4647 Stone Avenue Sioux City, IA 51106	(712) 274-8733 x1854 (712) 274-8733 x1492	bonilll@witcc.edu
13	Terri Amaral	300 W. Broadway, Suite 12 Council Bluffs, IA 51503	(712) 325-3267	tamaral@iwcc.edu
14	Darla Helm	1501 W Townline Street Creston, IA 50801	(641) 782-1497	dhelm@swcciowa.edu
15	Chuck Allen	525 Grandview Ave Ottumwa, IA 52501	(641) 683-5263	chuck.allen@indianhills.edu
16	Teresa Garcia	Keokuk Campus 335 Messenger Road Keokuk, IA 52632-6007	(319) 313-1920	tgarcia@sccciowa.edu

Checklist for Student Orientation and Intake

Please make a copy and complete this checklist for use with new students/classes.

☐ **Welcoming Activity**

☐ **ORIENTATION**

- Program purpose and philosophy
- Available services
- Physical layout
- Class schedule
- Class or building rules
- Rights and responsibilities
- Code of conduct/dress code
- Computer acceptable use policy

☐ **Registration Forms**

- Paper Form (*Information* completed by student; remainder completed by instructor)
- CBT form
- Release of information
- Media release form

☐ **APPRAISAL**

- As necessary, administer CASAS Locator to determine correct pre-test

☐ **Standardized Entry Assessment**

- Assess academic areas using appropriate standardized assessment (related to student goals) and record in the data management system
- Maintain testing records

☐ **GOAL-SETTING**

- Administer career interest and aptitude assessments
- Record primary and secondary goals
- Discuss career interests and aptitudes
- Discuss personal, work-related, and further education goals
- Decide on a plan of study

☐ **INTERVIEW**

- Discuss learning styles
- Discuss academic assessment results
- Administer identifying questions or local screening
- Discuss and document identified barriers and special learning needs
- Assist in resolving barriers/needs
- Document any disabilities and arrange for accommodations
- Confirm student attendance schedule and commitment status (use a student commitment contract)
- Establish timelines for future discussion of barriers with student

Student Interim Needs Assessment Survey

1. **How long have you been attending this class?**
_____ days _____ months _____ years
2. **How often do you attend?**
(A) always (B) often (C) sometimes (D) rarely (E) never
3. **If you circled (B) or (C) above, what prevents you from attending always?**
(A) lack of child care
(B) lack of transportation
(C) partner would disapprove
(D) pride
(E) fear of failure
(F) other:
4. **Why did you enroll in this class?**
(A) to obtain a GED® test credential
(B) to obtain skills to help me find a job
(C) to obtain skills to help me keep my current job
(D) to obtain skills to help me find a better job
(E) for personal growth (budgeting, parenting, etc.)
(F) to obtain skills to enroll in college or vocational school
5. **Have you obtained any of these goals?**
(A) yes (B) no
6. **Have you set other goals since you enrolled in this class? Explain.**

7. **How could this program better meet your needs?**

8. **Do you and your instructor periodically review your needs/goals to determine if they are being met?**
(A) yes (B) no
9. **Does your instructor provide lessons using the correct learning style for you in a way that is easy to understand?**
(A) always (B) often (C) sometimes (D) rarely (E) Never
10. **Does your instructor provide feedback to you regarding your progress?**
(A) yes (B) no
11. **Do you feel like you are “a part” of the class and the adult education program?**
(A) always (B) often (C) sometimes (D) rarely (E) never
12. **Does your instructor provide information about community agencies that could provide a service to you?**
(A) always (B) often (C) sometimes (D) rarely (E) never
13. **Does your instructor encourage you to continue your education by attending vocational programs or college?**
(A) always (B) often (C) sometimes (D) rarely (E) never
14. **Does your instructor provide information on how to apply and interview for a job?**
(A) always (B) often (C) sometimes (D) rarely (E) never
15. **Does your instructor treat you as an adult and with respect?**
(A) always (B) often (C) sometimes (D) rarely (E) never
16. **Do you feel comfortable asking your instructor for guidance with everyday problems?**
(A) yes (B) no
17. **Would you tell others about this program and urge them to attend?**
(A) yes (B) no; why not?

Use this space to write any comments you have about this program:

Request for State TA/Training for AEL Personnel

PROGRAM INFORMATION: COORDINATOR MAKING THE REQUEST

NAME:

EMAIL:

PHONE:

TYPE OF TECHNICAL ASSISTANCE REQUIRED (CHECK ALL THAT APPLY.)	<input type="checkbox"/> TE/EO	<input type="checkbox"/> OTHER _____	
	<input type="checkbox"/> GED	_____	
	<input type="checkbox"/> AEFLA/ABE	_____	
	<input type="checkbox"/> ESL/EL CIVICS		<input type="checkbox"/> WEBINAR
	<input type="checkbox"/> FISCAL MANAGEMENT		<input type="checkbox"/> FACE TO FACE
		PREFERRED DELIVERY:	<input type="checkbox"/> OTHER _____

TYPE OF SPECIALTY TRAINING NEEDED (CHECK ALL THAT APPLY.)	<input type="checkbox"/> CASAS IT REFRESHER	<input type="checkbox"/> OTHER _____	
	<input type="checkbox"/> ABE/GED	_____	
	<input type="checkbox"/> ESL/EL CIVICS	_____	
	<input type="checkbox"/> COLLEGE TRANSITION		<input type="checkbox"/> WEBINAR
	<input type="checkbox"/> ABE COORDINATOR		<input type="checkbox"/> FACE TO FACE
		PREFERRED DELIVERY:	<input type="checkbox"/> OTHER _____

PREFERRED DELIVERY BY:	<input type="checkbox"/> SPRING	<input type="checkbox"/> OTHER _____
	<input type="checkbox"/> FALL	_____
	<input type="checkbox"/> ABE CONFERENCE	_____
	<input type="checkbox"/> COORDINATOR CALL	
	<input type="checkbox"/> MONITORING VISIT	

IOWA'S ADULT EDUCATION AND LITERACY

PERSONAL CONFIDENTIALITY STATEMENT

This form must be completed by the local AEL program coordinator and any AEL staff receiving restricted or confidential data from participants in AEFLA funded program as a result of data matches conducted for state and federal reporting. The data is to be used for the sole purpose of establishing and evaluating state and federal reporting on student performance measures related to gaining and retaining employment, enrolling in postsecondary education and training, and obtaining a HSED.

I, _____, am an employee of _____, which has entered into an Agreement for the Release of Confidential Information with the Chancellor. I understand that in the course of my employment I may have access to confidential information from participants that will be used by the Iowa Department of Education to perform data match as required by the Adult Education and Family Act, Title II of the *Workforce Investment Act (WIA) of 1998*. These records contain student-specific information including social security numbers. Information will be shared with Iowa Workforce Development, the National Student Clearing House, and HSED data systems for the purpose ***No other use will be made of confidential data without a written consent by the participant on file.***

In connection with access to any confidential information furnished by the above, I acknowledge and agree to abide by the terms of the following assurances:

- I will access and use the confidential information only as necessary for the performance of my official job duties and only for the purpose(s) of carrying out the obligations as defined by the AEL reporting requirements.
- I will establish or enforce policies and procedures for safeguarding the confidentiality of such data, including but not limited to staff safeguards, physical safeguards and technical safeguards. Individuals may be civilly or criminally liable for improper disclosure.
- I will store the confidential information only on my employer's premises in an area that is physically safe from access by unauthorized persons during duty hours, as well as non-duty hours or when not in use.
- I will process the information and any records created from the information in a manner that will protect confidentiality by direct or indirect means, and in such a way that unauthorized persons cannot retrieve the information by any means.
- I will retain identifiable records only for the period of time required and will then destroy the records. (Data should not be needed once final changes are made in TE™ from the last data match for each fiscal year, usually an 18 month period (for example, July 1, 2012 – December 31, 2013).
- I will immediately notify the State AEL Program of *any* suspected or actual violation of confidentiality.
- I will inform the State AEL Program when I no longer need restricted access to data match information provided by participants.

- I have read the above-cited agreement and will comply with the terms, including but not limited to, the following: protecting the confidentiality of my personal access codes (e.g., username, password, etc.); securing computer equipment, memory devices and offices where confidential data may be kept; verifying that individuals requesting access to the data are authorized to receive them; and following procedures for the timely destruction of the data.
- I understand that if I violate any confidentiality provisions, my access privileges may immediately be suspended or terminated.

By signing below, I acknowledge that I have read and understand the information about the confidentiality requirements for the data gathered from participants and shared with Iowa's Department of Education; Iowa Workforce Development; and the National Student Clearing House, and I will adhere to them. I understand the possible penalties for failure to comply.

Signature: _____ Date: _____

Printed Name/Title: _____

Institution Name: _____

Telephone/Email: _____

Please return this completed signed form for each staff person approved for direct access to Personal Confidential Information to the local Program Coordinator to upload onto lowagrants.

FERPA Facts

FERPA is the Family Educational Rights and Privacy Act enacted in 1974 that protects students' educational records and gives them the following rights:

- Right to review and inspect educational records maintained by the institution
- Right to seek amendment to any portion of an educational record
- Right to have some control over the disclosure of information
- Right to obtain a copy of the College's FERPA Policy
- Right to file a complaint with the DOE Family Policy Compliance Office in Washington, DC

FERPA rights are assigned to all students once they enroll in postsecondary education, including Adult Education and ESL students.

Educational Records include Directory Information and Personally Identifiable Information.

Directory Information is defined by the institution and is not considered to be an invasion of privacy. This information may be disclosed without the student's permission to any reasonable written inquiry. **Directory Information** is:

- | | |
|-----------------|------------------------------|
| • Name | • Course of Study |
| • Address | • Dates of Attendance |
| • Email Address | • Previous school experience |
| • Phone Number | • Date/Place of Birth |

Students who wish to prevent the release of Directory Information under any circumstances, can protect all of their Educational Records by completing a Non-Disclosure form. (This can be created at the local program level with technical assistance from the State.)

Personally Identifiable Information is information that is related to and can easily identify a student. Personally Identifiable Information cannot be disclosed to any third party inquiry without the student's written permission. With data match, this information is shared with a third party and, therefore consent is required to be in compliance with section 212 of the Adult Education and Family Literacy Act.

Personally Identifiable Information includes:

- | | |
|--------------------------|---------------------|
| • Social Security Number | • Student ID Number |
| • Race | • Class Schedule |
| • Gender | • Test Scores |

As a special reminder, please remember that **staff cannot:**

- **Discuss the progress of a student with anyone (including parents) other than the Student without written permission of the Student.**
- **Use any portion of a Student's SSN or Student ID in any public manner.**
- **Use a Student's SSN or Student ID in an email subject line or body of the email message.**
- **Discuss the Student's record over the phone with any third party without permission from the student.**
- **Distribute a printed Class List of Student Names with any identifiable data to a third party.**

Additional FERPA information is available online at [Family Policy Compliance Office](#).

Individual Professional Development Plan Template

Name

Adult Education and Literacy Program Goal:

TIMEFRAME	Personal goals: (Optional) (e.g. May be planning retirement, may be wanting to develop new skills, change careers, major changes to personal life etc)	Professional goals: (e.g. Positional goals, gaining further qualifications, Memberships of Boards, Professional Associations etc)
Next 12 months		
Next 3 years		

This Professional Growth Plan was discussed and approved on

Instructor Signature

Coordinator Signature

Individual Professional Development Plan Template

STRENGTHS AND WEAKNESSES

	Planned Activities	Objective of Development Activity	Aligned Professional Development Standard	How activity impacts student learning
Required knowledge/skills Consider: <ul style="list-style-type: none"> • required competencies • job description • service plans and frameworks 				
Strengths Consider: <ul style="list-style-type: none"> • your views • recent tests/appraisals • other people's views 				
Weaknesses/gaps Consider: <ul style="list-style-type: none"> • gaps in knowledge/skills • changes to systems/services requiring new skills • what will help you to progress in your role? 				

Individual Professional Development Plan Activity Log

<i>Example:</i> Participated on our curriculum development team. Researched curricula, developed annual scope & sequence for Low Intermediate, assembled curriculum notebook	Jan – Mar 2013 5 team mtgs = 10 hours + 14 hours at home	10				14	
(1) Description of professional development activity completed	(2) Date(s)/ hrs of partici- pation	(3) Work- shop/ Train- ing	(4) Credit course	(5) Webinar/ Phone- in/Study Circle	(6) Confer- ence	(7) Self- Study	(8) Other
1.							
2.							
3.							
4.							
5.							
6. <i>Click return for more rows.</i>							
Total PD Hours (Total each of columns 3-8)							

I have completed the professional development activities as described.	I have granted _____ professional development hours for the professional development activities described.
Instructor Signature _____ <div style="text-align: right;">Date _____</div>	Adult Education and Literacy Program Coordinator Signature _____ <div style="text-align: right;">Date _____</div>

Iowa Adult Education and Literacy Monitoring Tools PY 2016

Review of Recommendations 2015	Reviewers' Comments/Guidance	Method(s) of Collection/Title of Document included in Evidence Binder
1. Based upon last year's recommendations:..... What program actions have been taken? • Documentation: 2. What assistance is needed from the state to further the process?	Corrective Action Plan; Current year and previous year Local Plan Extension	
A. Financial Monitoring	Reviewers' Comments/Guidance	Method(s) of Collection/Title of Document included in Evidence Binder
1. Is the administrative percentage for the <i>federal funds</i> within 5% or the negotiated percentage rate? • What is the administrative percentage of the <i>State allocation</i> ?	YES <input type="checkbox"/> NO <input type="checkbox"/>	Grant Award Notification, Fiscal documentation, ledger
2. Does the amount used for Corrections and Institutions fall within a 20% cap for <i>federal funds</i> ? • Documentation:	<input type="checkbox"/> <input type="checkbox"/>	Grant Award Notification, Fiscal documentation, ledger
3. How is professional development expenditure tracked? • Documentation:	<input type="checkbox"/> <input type="checkbox"/>	Fiscal documentation, ledger
4. Are funds used to supplement and not supplant? • Documentation:	<input type="checkbox"/> <input type="checkbox"/>	Budget review proposed expenses to actual
5. Does program generate income? • Are fees reasonable and appropriate for grant? • Is income put back into Adult Literacy program? • Documentation:	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	Time and effort documentation
6. Does program track time and effort for grant? • If employees are paid from multiple sources, is the distribution of their salaries documented by their time sheets? • Documentation:	<input type="checkbox"/> <input type="checkbox"/>	
7. Are all the activities performed by the program an allocable and allowable use of funds? • Documentation:	<input type="checkbox"/> <input type="checkbox"/>	Grant Award Notification, Fiscal documentation, last claim submitted on lowagants
8. Are records retained for 5 years? • Documentation:	<input type="checkbox"/> <input type="checkbox"/>	Grant Award Notification, Fiscal documentation, ledger
9. Is there an active MOU agreement between Core Partners? • Documentation:	<input type="checkbox"/> <input type="checkbox"/>	

B. Program Monitoring	YES	NO	Reviewers' Comments/Guidance	Method(s) of Collection/Title of Document included in Evidence Binder
1. Does program address intensity and duration of classes? How do you structure and sequence managed enrolment?	<input type="checkbox"/>	<input type="checkbox"/>	Copy of current year's Local Plan Extension, Class Schedule, Program Contact Information Sheet and Grant Award Notification, Communications with staff and student	
2. Does program collaborate with other agencies/entities?	<input type="checkbox"/>	<input type="checkbox"/>	Written procedure, MOU, program documents	
<ul style="list-style-type: none"> Is there a referral process to and from the One-Stop? 	<input type="checkbox"/>	<input type="checkbox"/>	Provide list of agencies and entities under current collaboration	
<ul style="list-style-type: none"> Does it result in improved services to clients? 	<input type="checkbox"/>	<input type="checkbox"/>		
<ul style="list-style-type: none"> Documentation: Is the program actively involved in developing the local 5-year plan Does the program have an MOU for Title I services with the local WIB? 	<input type="checkbox"/>	<input type="checkbox"/>		
<ul style="list-style-type: none"> Documentation: What is the program's targeted measurable goal (benchmark) for the current year? Is program achieving it? 	<input type="checkbox"/>	<input type="checkbox"/>	Program documents	
4. What strategies for goal achievement and program improvement does the program use? How do you measure your progress?			Program documents, historical data on tracking or measuring performance	
5. What strategies are using to provide AEL services as aligned with WIOA?			Comprehensive list of schedule and service sites	
6. How does the program contextualize and integrate instruction into career awareness?			Program documents, skill development, career guidance, college and career readiness standards, written screening	
7. Is there an outline of specific curricula for each program component including showing the use of research based practices along with alignment of CCRS? (ABE, HISET, ESL, etc.)/listing of "other materials" to be used for instruction?	<input type="checkbox"/>	<input type="checkbox"/>	Program documents. A menu of aligned classroom support materials. Written screening and referral processes for adult learners with a learning disability.	
8. What strategies for integrating technology are used?			Standards based lesson plans with computer assisted instruction.	
9. What strategies do instructors use to engage students and ensure student success? How is student success aligned with a Career Pathway specific to the student's needs and occupational field of choice?	<input type="checkbox"/>	<input type="checkbox"/>	Standards based lesson plans, observation forms, student surveys, distance curricula, employer engagement	
10. Does program have a procedure for obtaining professional development needs and communicating program needs to the State? (Identify what the procedure is.) What are your program action plans for ANI, STAR, Digital learning, including timeframe for trainings.	<input type="checkbox"/>	<input type="checkbox"/>	Individual Professional Development Plans; Copies of any certificates should be accessible if monitors need to review or have questions; Evaluation Forms from stakeholders.	
11. Do EL/Civics funded activities integrate English Literacy and civics education?	<input type="checkbox"/>	<input type="checkbox"/>	Program documents	

C. Data Monitoring	YES	NO	Reviewers' Comments/Guidance	Method(s) of Collection/Title of Document included in Evidence Binder
1. Data collection policies and procedures: <ul style="list-style-type: none"> Does program have policies and procedures for collecting student demographics? What is the intake process? Documentation: 	<input type="checkbox"/>	<input type="checkbox"/>	YTD NRS tables (at point of monitoring visit) and 2 NRS tables from the previous program year Federal Tables 1-12, NRS Performance Report, Personal Score Report, Federal Tables Monitor Report, Data Integrity Report (NRS Inclusion) – Goals – Paired Matches, Attendance sign-in sheets and template used to track attendance	
<ul style="list-style-type: none"> Does program have policies and procedures for administering assessments? Documentation - Proctor Certification: Does program have policies and procedures for tracking student attendance? Documentation: 	<input type="checkbox"/>	<input type="checkbox"/>	Marketing materials, student contracts, program information, website content will also be reviewed. Learning gains report generated after test or in TE	
<ul style="list-style-type: none"> Does program have policies and procedures for recruitment and retention? Documentation: Does the program share learning gains and level completions with student? Documentation: 	<input type="checkbox"/>	<input type="checkbox"/>	Sub-section, sub-section score, sub-section-date, passed/not passed. Student Demographics. Distance Education, GAP, PACE, State Corrections, CBET (STAR), etc.	
<ul style="list-style-type: none"> Are sub-sections of HSED test battery, attempted and passed entered into TE? Are special programs entered into TE? 	<input type="checkbox"/>	<input type="checkbox"/>	Current job descriptions for positions key to data	
<ul style="list-style-type: none"> Are there clear descriptions of staff roles and responsibilities for data collection? Are there procedures for collecting teacher educational attainment, credentials and experience in adult credentials and experience in adult education? Documentation: Does the program ensure Proctor and Coordination training are completed? Is there a documented flow of data collection for documentation? 	<input type="checkbox"/>	<input type="checkbox"/>	Program policy/handbook	
3. Does program have established reporting timelines? <ul style="list-style-type: none"> Documentation: 	<input type="checkbox"/>	<input type="checkbox"/>		
4. Does the program provide to the state accurate data to do data matching for the following cohorts: <ul style="list-style-type: none"> attained employment retained employment post secondary HSET/high school equivalency diploma attainment 	<input type="checkbox"/>	<input type="checkbox"/>	Federal Tables 1-12, NRS Performance Report, Personal Score Report, Federal Tables Monitor Report, Data Integrity Report (NRS Inclusion) – Goals – Paired Matches, Hours of Instruction, Program Enrollment (Entry Fields), Program Outcomes (Update Fields)	
5. What percentage of classes does the program distribute CASAS Class Profiles by Competency to at the current time? <ul style="list-style-type: none"> 100-75% 74-50% less than 50% 	<input type="checkbox"/>	<input type="checkbox"/>	distribution agenda/report, instructor access documentation	
6. Are students informed if program will conduct "student follow-up" for cohorts? <ul style="list-style-type: none"> Does the program require a confidentiality release form for goals that require follow-up? 	<input type="checkbox"/>	<input type="checkbox"/>	Signed consent forms - confidentiality assurances Student information in TE - Consent field updated	
7. Does program have a quality control procedure in place? <ul style="list-style-type: none"> Does the program routinely perform database error checking (missing data)? Documentation: Does the program have a policy for inputting data on a timely and regular schedule? Documentation: 	<input type="checkbox"/>	<input type="checkbox"/>	Data Quality Checklist - Assessment Policy Data Integrity Report Implementation or Beyond Certificate Program policy/handbook	
8. Does the program provide opportunity for staff development that supports NRS data implementation? <ul style="list-style-type: none"> Documentation: 	<input type="checkbox"/>	<input type="checkbox"/>	Staff Training agendas; Local Plan Extension: PD Activity Grant application(s)	

Fair Use Factors Checklist

This checklist can be used to help determine if your use of a copyrighted work falls within the fair use exception to copyright.

<i>Purpose of Use</i>	
<i>Favoring Fair Use</i>	<i>Opposing Fair Use</i>
<input type="checkbox"/> Teaching (including classroom use copies)	<input type="checkbox"/> Commercial activity
<input type="checkbox"/> Research	<input type="checkbox"/> Profiting from the use
<input type="checkbox"/> Scholarship	<input type="checkbox"/> Entertainment
<input type="checkbox"/> Nonprofit Educational Institution	<input type="checkbox"/> Denying credit to original author
<input type="checkbox"/> Criticism	
<input type="checkbox"/> Changing the work for a new utility	
<input type="checkbox"/> Parody	
<i>Nature of Work</i>	
<i>Favoring Fair Use</i>	<i>Opposing Fair Use</i>
<input type="checkbox"/> Published work	<input type="checkbox"/> Unpublished work
<input type="checkbox"/> Factual or Nonfiction based	<input type="checkbox"/> Highly creative work (art, music, plays, etc.)
<input type="checkbox"/> Important to favored educational objectives	<input type="checkbox"/> Fiction
<i>Amount Used</i>	
<i>Favoring Fair Use</i>	<i>Opposing Fair Use</i>
<input type="checkbox"/> Small Quantity	<input type="checkbox"/> Large portion or whole work used
<input type="checkbox"/> Portion used is not central to entire work	<input type="checkbox"/> Portion used is central to work
<input type="checkbox"/> Appropriate portions for educational purpose	
<i>Market Effect</i>	
<i>Favoring Fair Use</i>	<i>Opposing Fair Use</i>
<input type="checkbox"/> User lawfully acquired or purchased copy of original work	<input type="checkbox"/> Avoids payment of royalties/permission
<input type="checkbox"/> One or few copies made	<input type="checkbox"/> Significantly impairs market or potential market for copyrighted work or derivatives
<input type="checkbox"/> No significant effect on the market or potential market for copyrighted work	<input type="checkbox"/> Licensing mechanism is reasonably available
<input type="checkbox"/> Lack of licensing mechanism	<input type="checkbox"/> Permission is available
	<input type="checkbox"/> Numerous copies made
	<input type="checkbox"/> Placed it on Web or other public forum
	<input type="checkbox"/> Repeated or long term use

Observation Toolkit

(adopted to include Instructor Standards)

Classroom observations are a hallmark of standards-based instructional leadership. They are a prime method program administrators can use to monitor the consistency of instructional practices and their fidelity to standards. *Observing is different and separate from formal summative evaluations of personnel.* One of its most powerful features is a reliance on the aggregation of data across instructors and specific teaching and learning practices. The purpose of classroom observations is to reveal effective and ineffective teaching practices and curriculum choices recurring across multiple classrooms within a program and across the state—not to judge the merit or performance of a specific instructor. Observations of a single instructor cannot provide an accurate portrait of instructional quality within an entire program. But when findings from visits to every classroom within a program are analyzed, a clear picture of standards-based instruction emerges. Program coordinators can then address the professional development needs of an entire faculty more effectively, by investigating common instructional choices made by multiple instructors.

Observing is designed to be formative, non-threatening, and forward-looking—a system in which the observer is clearly invested in instructors’ success.

The toolkit includes, the observational tool, the aggregation of observation data form and the summary of observation data form. Follow these guidelines when observing:

- I. Support the natural atmosphere of the classroom.
 - Arrive early and remain in the classroom during the entire lesson to capture how the lesson is set up, its flow and conclusion.
 - Minimize your interaction with students, although contact is permitted if done discreetly and with the purpose of understanding what students are thinking and working on. Otherwise, asking questions or participating in activities can detract from your observations.
- II. Circulate freely when students are working individually or in groups (if you cannot hear students or need to see their work); otherwise, move to the side or back of the room during whole-class discussion.
- III. Assume the role of researcher—collecting data on teaching practices—not evaluator.
- IV. Come to the lessons fresh—just as students do—without the benefit of any advance meeting or detailed information about what to expect.
- V. Pay attention to student responses, including the level of student engagement, how students are constructing their understanding, strategies they use to solve problems, and patterns of student errors.
- VI. Pay attention to instructor-student interactions, including the type of student engagement and how the instructor encourages engagement.

For further study:

[Unit Four—Observing Standards in Action](#)

CLASSROOM OBSERVATION TOOL

With the adoption of the College and Career Readiness Standards in Iowa, this tool was introduced to help instructors with the implementation of content standards in their instruction. This same tool can and should be used to measure four out of six instructor standards and is an effective self-assessment, as well as a critical friends group, and monitoring tool.

Effective Teaching and Learning Practices		E=Evident NFE=Not Fully Evident
1. Curriculum content of the lesson is aligned to the demands of the standards¹. (Standards 2 and 5)	E/NFE	Evidence
a. Instructor presents lesson clearly reflecting the concepts/skills of one or more of the standards.		
b. Instructor outlines a well defined standards-based lesson objective stated in terms of the desired student learning outcomes.		
c. Students use resources directly related to the targeted standards.		
2. Cognitive level of learning activities are aligned to the demands of the standards. (Standards 2 and 5)	E/NFE	Evidence
a. Instructor poses questions that stimulate student thinking beyond recall.		
b. Instructor allows appropriate wait-time (3 or more seconds) after posing questions.		
c. Instructor asks students to elaborate on and justify their answers.		
d. Instructor activates students' metacognitive skills (e.g. models strategies, inquires about students' strategies).		
e. Students work on assignments reflecting the highest demands posed by the standards targeted by the lesson.		
3. Standards are translated into lesson content relevant to adult students. (Standards 2, 5 and 6)	E/NFE	Evidence
a. Instructor ties standards-based lesson to students' goals, interests, or needs.		
b. Students actively participate in the lesson through class discussions, group projects, etc., instead of doing solitary seatwork or listening to extended lectures.		
c. Students have varied opportunities (beyond worksheets) to apply new learning in authentic or practical adult-oriented contexts.		
d. Students have access to technology in learning or for use in application in adult-oriented contexts.		

¹For the purpose of "standards", it is defined as the most specific level of outcome used by Iowa's Adult Education and Literacy programs as adopted by the College and Career Readiness Standards as well as the Iowa Core 21st Century Skills to indicate what adult students should know and be able to do. These can include indicators, and examples.

Effective Teaching and Learning Practices		E=Evident NFE=Not Fully Evident
4. Standards are addressed by a coherent progression of learning. (Standard 5)	E/NFE	Evidence
a. Instructor explicitly links lesson content to previous lessons or what students already know.		
b. Students have prerequisite knowledge/skills to understand lesson content.		
c. Instructor incorporates standards in a lesson in a manner that builds on their natural connections.		
d. Instructor closes lesson by: <ul style="list-style-type: none"> • Reviewing lesson objectives; • Summarizing student learning; and • Previewing how the next lesson builds on that learning. 		
5. Students' level of understanding is assessed during the lesson and instruction is adjusted accordingly. (Standard 3)	E/NFE	Evidence
a. Instructor regularly checks whether students are mastering standards-based lesson content (e.g., circulates to check on students' work, monitors verbal responses).		
b. Instructor provided students with prompt, specific feedback to correct misunderstanding and reinforce learning.		
c. Students signal understanding of lesson content before instructor introduces new idea.		
d. Instructor provides supplemental instructions for students who show that they need it (e.g., individualized or peer tutoring, re-teaching, review of basic skills).		
e. Instructor provides extension activities for students who complete classwork, instead of leaving them idle or unchallenged.		
f. Students evaluate and reflect on their own learning.		

Aggregation of Observation Data Form

Effective Teaching and Learning Practices						E = Evident NFE = Not Fully Evident										Total Es	Prevalence Percent
1. Curriculum <i>content</i> of the lessons is aligned to the demands of standards. ¹ (Standards 2 and 5)						1	2	3	4	5	6	7	8	9	10	Total Es	Prevalence Percent
a. Instructor presents lesson clearly reflecting the concepts/skills of one or more of the standards.																	
b. Instructor outlines a well-defined standards-based lesson objective stated in terms of the desired student learning outcomes.																	
c. Students use resources directly related to the targeted standards.																	
2. Cognitive level of learning activities is aligned to the demands of the standards. (Standards 2 and 5)						1	2	3	4	5	6	7	8	9	10	Total Es	Prevalence Percent
a. Instructor poses questions that stimulate student thinking beyond recall.																	
b. Instructor allows appropriate wait-time (3 or more seconds) after posing questions.																	
c. Instructor asks students to elaborate on and justify their answers.																	
d. Instructor activates students' meta-cognitive skills (e.g., models strategies, inquires about students' strategies).																	
e. Students work on assignments reflecting the highest demands posed by the standards targeted by the lesson.																	
3. Standards are translated into lesson content <i>relevant</i> to adult students. (Standards 2, 5 and 6)						1	2	3	4	5	6	7	8	9	10	Total Es	Prevalence Percent
a. Instructor ties standards-based lesson to students' goals, interests, or needs.																	
b. Students actively participate in the lesson through class discussions, group projects, etc., instead of doing solitary seatwork or listening to extended lectures.																	
c. Students have varied opportunities (beyond worksheets) to apply new learning in authentic or practical adult-oriented contexts.																	
d. Students have access to technology in learning or for use in application in adult-oriented contexts.																	

¹For the purpose of "standards", it is defined as the most specific level of outcome used by Iowa's Adult Education and Literacy programs as adopted by the College and Career Readiness Standards as well as the Iowa Core 21st Century Skills to indicate what adult students should know and be able to do. These can include indicators, and examples.

[illegible]

Summary of Observation Data Form

	E = Evident NFE = Not Fully Evident	
1. Curriculum <i>content</i> of the lessons is aligned to the demands of standards. ² (Standards 2 and 5)	Total Es	Prevalence Percent
a. Instructor presents lesson clearly reflecting the concepts/skills of one or more of the standards.		
b. Instructor outlines a well-defined standards-based lesson objective stated in terms of the desired student learning outcomes.		
c. Students use resources directly related to the targeted standards.		
2. <i>Cognitive level</i> of learning activities is aligned to the demands of the standards. (Standards 2 and 5)	Total Es	Prevalence Percent
a. Instructor poses questions that stimulate student thinking beyond recall.		
b. Instructor allows appropriate wait-time (3 or more seconds) after posing questions.		
c. Instructor asks students to elaborate on and justify their answers.		
d. Instructor activates students' metacognitive skills (e.g., models strategies, inquires about students' strategies).		
e. Students work on assignments reflecting the highest demands posed by the standards targeted by the lesson.		
3. Standards are translated into lesson content <i>relevant</i> to adult students. (Standards 2, 5 and 6)	Total Es	Prevalence Percent
a. Instructor ties standards-based lesson to students' goals, interests, or needs.		
b. Students actively participate in the lesson through class discussions, group projects, etc., instead of doing solitary seatwork or listening to extended lectures.		
c. Students have varied opportunities (beyond worksheets) to apply new learning in authentic or practical adult-oriented contexts.		
d. Students have access to technology in learning or for use in application in adult-		

² For the purpose of "standards", it is defined as the most specific level of outcome used by Iowa's Adult Education and Literacy programs as adopted by the College and Career Readiness Standards as well as the Iowa Core 21st Century Skills to indicate what adult students should know and be able to do. These can include indicators, and examples.

Summary of Observation Data Form– continued

4. Standards are addressed by a <i>coherent progression</i> of learning. (Standard 5)	Total Es	Prevalence Percent
a. Instructor explicitly links lesson content to previous lessons or what students already know.		
b. Students have prerequisite knowledge/skills to understand lesson content.		
c. Instructor incorporates standards in a lesson in a manner that builds on their natural connections.		
d. Instructor closes lesson by: reviewing lesson objectives; summarizing student learning; and previewing how the next lesson builds on that learning		
5. Students' level of understanding is <i>assessed</i> during the lesson and instruction is adjusted accordingly. (Standard 3)	Total Es	Prevalence Percent
a. Instructor regularly checks whether students are mastering standards-based lesson content (e.g., circulates to check on students' work, monitors verbal responses).		
b. Instructor provides students with prompt, specific feedback to correct misunderstandings and reinforce learning.		
c. Students signal understanding of lesson content before instructor introduces new ideas.		
d. Instructor provides supplemental instruction for students who show that they need it (e.g., individualized or peer tutoring, re-teaching, review of basic skills).		
e. Instructor provides extension activities for students who complete classwork, instead of leaving them idle or unchallenged.		
f. Students evaluate and reflect on their own learning.		

- A. In 50 percent or more of these classes, the following practices/indicators were observed: List practices/indicators and sample relevant evidence for each.
- B. In 50 percent or less of these classes, the following practices/indicators were observed: List practices/indicators and sample relevant evidence for each.
- C. List priorities for professional development generated by the discussion with instructional staff.



COMMUNITY COLLEGES

About Factsheet:

This document contains data from the Community College Management Information System and other sources with summative data on topics of interest. Factsheet is not released at regular intervals.

Contacts:

Jeremy Varner
Administrator
515/281-8260
jeremy.varner@iowa.gov

Alex Harris
Consultant
515/281-3640
alex.harris@iowa.gov



IOWA DEPARTMENT OF EDUCATION

Grimes State Office Building
Des Moines, IA
50319-0146

Phone: 515-281-8260
Fax: 515-242-5988
www.state.ia.us/educate

FACTSHEET

Adult Basic Education and Literacy Program Overview

February 2013

Program Description

Iowa's adult education and literacy programs assist adults in obtaining the knowledge and skills necessary for work, further education, family self-sufficiency, and community involvement. By improving the education and skill levels of individual Iowans, these programs enhance the competitiveness of the state's workforce and economy. The programs provide instructional services in Adult Basic Education (ABE), Adult Secondary Education (ASE), and English Literacy (EL).

The target population includes adults seeking to:

- Improve basic skills (e.g., reading, math, and computational skills below the 9th grade level)
- Obtain a high school equivalency diploma (by passing the GED® assessment battery)
- Prepare for entrance to postsecondary education and training programs
- Prepare for education or employment-related examinations
- Obtain skills necessary for successful employment
- Learn the English language and American civics

Other target populations include recipients of Temporary Assistance to Needy Families (TANF) and incarcerated adults.

Adult education programs are delivered by Iowa's 15 community colleges which are uniquely positioned to address the needs of low skill adult learners.

Adult Basic Education: Instruction in basic skills for adults functioning at low literacy levels to just below high school level.

Adult Secondary Education: Instruction for adults whose literacy skills are at approximately high school level and are seeking to obtain an adult high school equivalency credential (usually by passing the GED®).

English Literacy: Instruction for adults who lack proficiency in English and who seek to improve their literacy and competence in English. English literacy instruction is sometimes integrated with civics education.

Adult Education and Family Literacy Act (AEFLA)

Iowa's adult education programs are primarily supported by the Adult Education and Family Literacy Act (AEFLA), Title II of the Workforce Investment Act (WIA) of 1998. AEFLA funds are distributed by formula to states based on the number of adults age 16 or older who lack a high school diploma and are not enrolled in school.

Through AEFLA, Congress set accountability expectations for state and local programs that measure effectiveness on the basis of student academic achievement and employment outcomes.

Over the past decade, Iowa has received less federal support for adult education due to demographic changes relative to other states and decreased total support. This program year, \$3.05 million of the federal allocation was distributed to community colleges — down 17.9% from 2003. This resulted in six of Iowa's 15 community colleges receiving less than \$150,000. In addition to AEFLA, adult education programs are supported by a variety of other federal and local resources. According to the National Council of State Directors of Adult Education, Iowa is one of three states which do not have a dedicated state support for adult education.

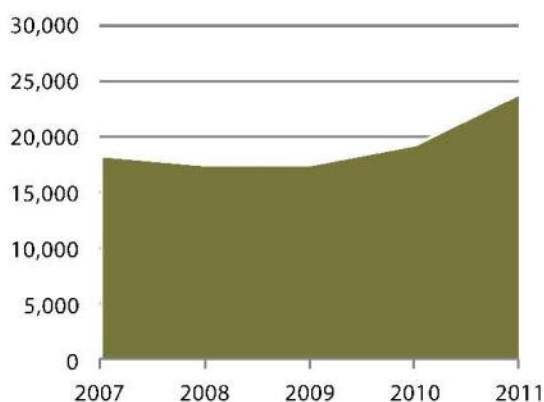
Factsheet — Adult Education Program Overview

February 2013

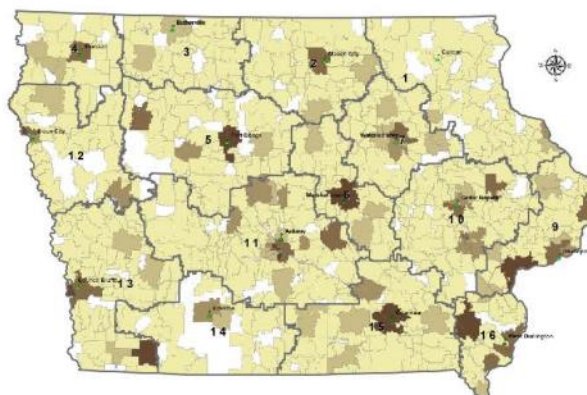
Iowans with Less than a High School Level Education*

Age Group	Male	Female	Total
18-24	59.7%	40.3%	38,030
25-34	55.4%	44.6%	27,996
35-44	55.3%	44.7%	26,539
45-64	58.5%	41.5%	60,271
65+	45.5%	54.5%	75,283
Total	53.7%	46.3%	228,119

* US Census Bureau 2011 American Community Survey estimates

Adult Education Program Enrollment**Total Adult Education Enrollment***

* Federally-reported; National Reporting Service, 2011

Location of Adult Education Students*

* Community College Management Information System, FY 2011; darker shaded areas indicate higher enrollment.

High School Equivalency Diploma Recipients (GED® Test Battery Completers)*

Age Group	Total
17-18	498
18-24	2,006
25-34	880
35-44	310
45-64	206
65+	13
Unclassified	281
Total	4,194

Since 2002, more than 40,000 high school equivalency diplomas have been awarded.

* National Reporting Service, 2011

Adult Education Initiatives

To effectively serve the foundation learning needs of diverse groups of Iowans, the department has several initiatives aimed at expanding access and increasing retention and persistence.

Adult Literacy in the Workforce Initiative (ALWI)

— Focuses on career pathways, contextualized instruction, integrated instruction, and wraparound support services.

Managed Enrollment Pilots—Focuses on the delivery of instruction in short amounts of time through intense and directed instruction. There are three pilots.

Distance Education — Focuses on expanding access. 250 seats are available.

SPECIAL NEEDS FORM

Program: _____
 AEL staff: _____
 Class: _____

Date Completed _____
 Social Security #: _____
 HiSET® ID #: _____

Name

Last

First

ML

Maiden or other former name

Student ID

SCREENING

Screening:	Offered	Conducted ¹	Refused ²	Date
Learning disability	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
Hearing	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
Vision	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	

Learning disability instrument given:

- ☐ ALDS ☐ Cooper ☐ Destination Literacy
☐ Payne Inventory ☐ PowerPath ☐ STALD
☐ Washington 13

Screening results indicate probability of LD: ☐ Yes ☐ No

¹ Student signed Screening Consent Form: ☐ Yes ☐ No ☐ N/A

² Student signed Waiver* of Consent Form: ☐ Yes ☐ No
**only necessary if screening services are refused*

INFORMATION RELEASED TO OTHER AGENCIES

Student signed Release of Information Form: ☐ Yes ☐ No
(only necessary if information is released to others)

REFERRAL AND DIAGNOSIS

Information about assessment of:	Offered	Given	Refused ³	Date
Learning disability	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
Hearing	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
Vision	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	

Results of referral/diagnostic evaluation:

- ☐ No evidence of learning disability, hearing, or vision problem
☐ Specific learning disability
 ☐ Reading ☐ Receptive/expressive language
 ☐ Math ☐ Phonological
 ☐ Written expressive ☐ Not otherwise specified
☐ Hearing problem ☐ Hearing aids ☐ recommended ☐ received
☐ Vision problem ☐ Vision aids ☐ recommended ☐ received
 ☐ Glasses or contacts ☐ recommended ☐ received

³ Student signed Waiver* of Referral Information: ☐ Yes ☐ No
**only necessary if referral services are refused*

EDUCATIONAL ACCOMMODATIONS

(FOR DIAGNOSED STUDENTS ONLY)

Accommodations recommended:

- ☐ Colored overlays ☐ Audiocassette*
☐ Ear plugs ☐ Braille*
☐ Graph paper for math ☐ Extended time*
☐ Large print ☐ Private room*
☐ Magnifying strip ☐ Scribe*
☐ Seating near natural light ☐ Supervised frequent breaks*
☐ Straight edge ☐ Talking calculator*
☐ Other: _____

* Prior approval needed for HiSET®

HiSET® accommodations form completed? ☐ Yes ☐ No

COMMENTS/ADDITIONAL INFORMATION

(include any diagnosis, not listed above, for which an accommodation was provided)

July 2015

Student Special Needs Form PY2016

Screening Consent or Waiver Form

Please complete the appropriate section(s) below:

I, (print name) _____

☐ agree or ☐ decline to be administered the (print name of instrument)
to determine the probability of a learning disability.

☐ agree or ☐ decline to be administered the (print name of instrument)
to determine the probability of ADD or ADHD.

☐ agree or ☐ decline to be administered a vision and/or hearing screening to provide information
about visual and/or auditory functions and processing

If I agree to screening (s), it (they) will take place on or about (date) _____ at (program name)

Results of the screening will be reviewed by one or more staff members of the above named program and will be utilized for the purpose of instructional planning. Results of the screening (s) will be maintained in a secure location at the above named program and will not be released to a third party without the consent of the student/parent or guardian.

Signature of Student/Parent or Guardian*

Date

Signature of Program Representative

Date

*Students under the age of 18 must have this consent form signed by the student's parent or guardian.

SAMPLE Referral Form to AEL Services

Client Name: _____

Address: _____

Telephone #: _____

Referring Agency: _____

Referring Contact Name: _____

Telephone #: _____ Email: _____

Referred to AEL for: (Check all that apply)

- ☐ Digital Literacy Skills
- ☐ Workplace Literacy Skills (e.g. Goal Setting, Employability, 21st Century Skills)
- ☐ Basic Skills/Remediation (e.g. Math, Reading, Writing skills)
- ☐ English as a Second Language Instruction
- ☐ HSED Preparation
- ☐ Other _____

No. of required AEL hours in customer's plan (if applicable): _____

Date to Begin: _____

☐ Please provide a monthly progress/attendance report for this client.

Comments: _____

Complete this box ONLY if information is to be shared between agencies!

I _____ (client name) authorize the _____ (referring agency) and the AEL Program to share information about me regarding AEL Services. I have been informed of the intended purpose and use of the information. I have also been informed that the information provided will not be further released without my consent except that which pertains to State or Federal regulations that govern the activities of _____ (referring agency) and AEL. I have been informed of the meaning of this release and my signature on it amounts to a waiver of any claim I might assert against any individual or organization.

Signature of Client (and parent if under 18 years of age)_____
Signature of AEL agent_____
Signature of Referring Agency agent_____
Date

THIS PAGE IS LEFT INTENTIONALLY BLANK



COMMUNITY COLLEGES

BUREAU OF COMMUNITY COLLEGES